



## IAPD Report

# CHRISTOPHER D STODDARD

CRD# 2773797

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### CHRISTOPHER D STODDARD (CRD# 2773797)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **09/17/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	12/15/2016
<b>IA</b>	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	03/08/2017

### QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **9** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>B</b>	WELLS FARGO ADVISORS, LLC	19616	NORWELL, MA	09/09/2016 - 11/23/2016
<b>IA</b>	WELLS FARGO ADVISORS, LLC	19616	NORWELL, MA	09/09/2016 - 11/23/2016
<b>B</b>	MORGAN STANLEY	149777	NORWELL, MA	06/01/2009 - 09/16/2016

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	3
Termination	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **9** jurisdiction(s) and 11 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
Main Address: 501 N BROADWAY  
ST LOUIS, MO 63102  
Firm ID#: 793

Regulator	Registration	Status	Date
<b>B</b> Cboe BZX Exchange, Inc.	General Securities Representative	Approved	12/15/2016
<b>B</b> Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/17/2025
<b>B</b> Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	09/17/2025
<b>B</b> Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/17/2025
<b>B</b> Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	09/17/2025
<b>B</b> FINRA	General Securities Representative	Approved	12/15/2016
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	12/15/2016
<b>B</b> Investors' Exchange LLC	General Securities Representative	Approved	09/17/2025
<b>B</b> NYSE American LLC	General Securities Representative	Approved	12/15/2016
<b>B</b> NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	09/17/2025
<b>B</b> NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	09/17/2025
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	09/17/2025



## Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	09/17/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	12/15/2016
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	12/15/2016
B Nasdaq Stock Market	General Securities Representative	Approved	12/15/2016
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	12/15/2016
B New York Stock Exchange	General Securities Representative	Approved	12/15/2016
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B California	Agent	Approved	01/31/2017
B Florida	Agent	Approved	02/17/2017
B Massachusetts	Agent	Approved	01/13/2017
B New Hampshire	Agent	Approved	03/02/2017
IA New Jersey	Investment Adviser Representative	Approved	03/08/2017
B New York	Agent	Approved	12/15/2016
B Rhode Island	Agent	Approved	12/15/2016
B Texas	Agent	Approved	07/17/2017
IA Texas	Investment Adviser Representative	Restricted Approval	04/05/2017
B Vermont	Agent	Approved	09/16/2021

### Branch Office Locations

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**



## Qualifications

18 MAIN STREET EXTENSION  
SUITE 303  
PLYMOUTH, MA 02360

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
NORWELL, MA





## Qualifications

### PASSED INDUSTRY EXAMS



This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/05/2000
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/21/2000

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/26/1996

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/24/1997
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/24/1997

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	09/09/2016 - 11/23/2016	WELLS FARGO ADVISORS, LLC	CRD# 19616	NORWELL, MA
IA	09/09/2016 - 11/23/2016	WELLS FARGO ADVISORS, LLC	CRD# 19616	NORWELL, MA
B	06/01/2009 - 09/16/2016	MORGAN STANLEY	CRD# 149777	NORWELL, MA
IA	06/01/2009 - 09/16/2016	MORGAN STANLEY	CRD# 149777	NORWELL, MA
IA	05/09/2002 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	HINGHAM, MA
B	09/27/1996 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	HINGHAM, MA

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2016 - Present	Stifel Nicolaus & Co Inc	Financial Advisor	Y	Boston, MA, United States
09/2016 - 11/2016	Wells Fargo Advisors LLC	Registered Rep	Y	Norwell, MA, United States
01/2015 - 09/2016	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	3
Termination	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 3

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	California Department of Insurance
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	05/09/2018
<b>Docket/Case Number:</b>	OBS 3241-AP
<b>Employing firm when activity occurred which led to the regulatory action:</b>	MORGAN STANLEY
<b>Product Type:</b>	No Product
<b>Allegations:</b>	As a result of the FINRA AWC, Fine and Suspension in 2017, The California Insurance commissioner suspended my Insurance license for 5 days beginning June 25, 2018.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	05/09/2018
<b>Sanctions Ordered:</b>	Suspension

**Sanction 1 of 1**

**Sanction Type:** Suspension  
**Capacities Affected:** All Capacities  
**Duration:** 5 Days  
**Start Date:** 06/25/2018  
**End Date:** 06/29/2018

**Disclosure 2 of 3**

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** Massachusetts Securities Division

**Sanction(s) Sought:** Undertaking  
Other: Consent Order

**Date Initiated:** 01/10/2018

**Docket/Case Number:** R-2017-0094

**URL for Regulatory Action:**

**Employing firm when activity occurred which led to the regulatory action:** Stifel, Nicolaus & Company

**Product Type:** No Product

**Allegations:** Stoddard has been continuously registered in Massachusetts as a BD agent of SNCI since January 13, 2017. FINRA instituted a regulatory action against Stoddard which resulted in FINRA and Stoddard entering into an Acceptance Waiver and Consent (an "AWC"). Without admitting or denying the findings, Stoddard consented to the sanctions and to the entry of findings that shortly before he terminated his association with Morgan Stanley, Stoddard altered four of his clients' telephone numbers and email addresses in Morgan Stanley's client management database. The findings stated that although Stoddard separately provided Morgan Stanley with an accurate list of his customers' contact information, he changed four customers' contact information in Morgan Stanley's client management database in order to delay their ability to contact these customers before Stoddard could contact them. These changes were made without the knowledge or authorization of the clients and caused Morgan Stanley's books and records to be inaccurate. On August 16, 2017, FINRA and Stoddard entered into the AWC to resolve this matter. This resulted in a suspension for Stoddard from association with any FINRA member in any and all capacities for twenty (20) days and a \$5,000 fine. Stoddard served the suspension from September 18, 2017 to October 7, 2017. Mass. Gen. Laws ch. 110 A, § 204(a)(2)(F)(ii) provides that the Division may revoke or suspend Stoddard's BD agent registration based on the above-mentioned FINRA suspension. The above-stated disclosure incidents against Stoddard have moved the Division to place conditions on his registrations as a BD agent of SNCI in Massachusetts.

**Current Status:** Final

**Resolution:** Consent Order



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 01/10/2018

**Sanctions Ordered:** Undertaking  
Other: Consent Order

**Regulator Statement** In view of the foregoing, the Division determines that it is in the public interest to allow the continuation of Stoddard's registration in Massachusetts as an agent of SNCI upon the conditions set forth below. Stoddard shall be supervised, on a heightened basis by SNCI.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** Massachusetts Securities Division

**Sanction(s) Sought:** Undertaking  
Other: Consent Order

**Date Initiated:** 01/10/2018

**Docket/Case Number:** R-2017-0094

**Employing firm when activity occurred which led to the regulatory action:** STIFEL, NICOLAUS & COMPANY, INCORPORATED

**Product Type:** No Product

**Allegations:** Stoddard has been continuously registered in Massachusetts as a BD agent of SNCI since January 13, 2017. FINRA instituted a regulatory action against Stoddard which resulted in FINRA and Stoddard entering into an Acceptance Waiver and Consent (an "AWC"). Without admitting or denying the findings, Stoddard consented to the sanctions and to the entry of findings that shortly before he terminated his association with Morgan Stanley, Stoddard altered four of his clients' telephone numbers and email addresses in Morgan Stanley's client management database. The findings stated that although Stoddard separately provided Morgan Stanley with an accurate list of his customers' contact information, he changed four customers' contact information in Morgan Stanley's client management database in order to delay their ability to contact these customers before Stoddard could contact them. These changes were made without the knowledge or authorization of the clients and caused Morgan Stanley's books and records to be inaccurate. On August 16, 2017, FINRA and Stoddard entered into the AWC to resolve this matter. This resulted in a suspension for Stoddard from association with any FINRA member in any and all capacities for twenty (20) days and a \$5,000 fine. Stoddard served the suspension from September 18, 2017 to October 7, 2017. Mass. Gen. Laws ch. 110 A, § 204(a)(2)(F)(ii) provides that the Division may revoke or suspend Stoddard's BD agent registration based on the above-mentioned FINRA suspension. The above-stated disclosure incidents against Stoddard have moved the Division to place conditions on his registrations as a BD agent of SNCI in Massachusetts.

**Current Status:** Final

**Resolution:** Consent Order



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 01/10/2018

**Sanctions Ordered:** Undertaking  
Other: Consent Order

**Broker Statement** The Division continues Stoddard's registration in Massachusetts which started initially in 2005.

**Disclosure 3 of 3**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 08/16/2017

**Docket/Case Number:** [2016051578601](#)

**Employing firm when activity occurred which led to the regulatory action:** Morgan Stanley

**Product Type:** No Product

**Allegations:** Without admitting or denying the findings, Stoddard consented to the sanctions and to the entry of findings that shortly before he terminated his association with a member firm, Stoddard altered four of his clients' telephone numbers and email addresses in the firm's client management database. The findings stated that although Stoddard separately provided the firm with an accurate list of his customers' contact information, he changed four customers' contact information in the firm's client management database in order to delay the firm's ability to contact the customers in question and thereby ensure Stoddard was able to speak with the customers before the firm. Stoddard changed the relevant contact information without the knowledge or authorization of the affected clients. As a result, Stoddard caused Morgan Stanley's books and records to be inaccurate.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 08/16/2017

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension



If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**



**Sanction 1 of 1**

**Sanction Type:** Suspension  
**Capacities Affected:** All capacities  
**Duration:** 20 days  
**Start Date:** 09/18/2017  
**End Date:** 10/07/2017

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)  
**Total Amount:** \$5,000.00  
**Portion Levied against individual:** \$5,000.00  
**Payment Plan:**  
**Is Payment Plan Current:**  
**Date Paid by individual:** 05/05/2018  
**Was any portion of penalty waived?** No  
**Amount Waived:**

**Regulator Statement** Fines paid in full on May 5, 2018.

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** FINRA  
**Sanction(s) Sought:**  
**Date Initiated:** 08/16/2017  
**Docket/Case Number:** [2016051578601](#)  
**Employing firm when activity occurred which led to the regulatory action:** Morgan Stanley

**Product Type:** No Product

**Allegations:** Without admitting or denying the findings, Stoddard consented to the sanctions and to the entry of findings that shortly before he terminated his association with a member firm, Stoddard altered four of his clients' telephone numbers and email addresses in the firm's client management database. The findings stated that although Stoddard separately provided the firm with an accurate list of his customers' contact information, he changed four customers' contact information in the firm's client management database in order to delay the firm's ability to contact the customers in question and thereby ensure Stoddard was able to speak with the customers before the firm. Stoddard changed the relevant contact information without the knowledge or authorization of the affected clients. As a result, Stoddard caused Morgan Stanley's books and records to be inaccurate.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)



<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	08/16/2017
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	All capacities
<b>Duration:</b>	20 Days
<b>Start Date:</b>	09/18/2017
<b>End Date:</b>	10/07/2017
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Firm  
**Firm Name:** WELLS FARGO ADVISORS  
**Termination Type:** Discharged  
**Termination Date:** 11/15/2016  
**Allegations:** Terminated for activity associated with departure from employment at Morgan Stanley.  
**Product Type:** No Product

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**Reporting Source:** Individual  
**Firm Name:** WELLS FARGO ADVISORS  
**Termination Type:** Discharged  
**Termination Date:** 11/15/2016  
**Allegations:** Terminated for activity associated with departure from employment at Morgan Stanley.  
**Product Type:** No Product



## End of Report

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