



IAPD Report

JAMES LESLIE LACEY JR

CRD# 3087081

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

JAMES LESLIE LACEY JR (CRD# 3087081)

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 **02/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 11025	05/10/2024
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	05/10/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	MORGAN STANLEY	149777	Pleasanton, CA	10/23/2015 - 05/21/2024
IA	MORGAN STANLEY	149777	Pleasanton, CA	10/23/2015 - 05/21/2024
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SAN FRANCISCO, CA	08/10/2007 - 10/27/2015

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
Criminal	1
Customer Dispute	3



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 13 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**
Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205
Firm ID#: 11025

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/10/2024
B	Arizona	Agent	Approved	05/10/2024
B	California	Agent	Approved	05/10/2024
IA	California	Investment Adviser Representative	Approved	05/13/2024
B	Florida	Agent	Approved	05/10/2024
B	Georgia	Agent	Approved	01/21/2026
IA	Hawaii	Investment Adviser Representative	Approved	05/14/2024
B	Hawaii	Agent	Approved	08/29/2025
B	Indiana	Agent	Approved	05/15/2024
B	Iowa	Agent	Approved	05/10/2024
B	Maryland	Agent	Approved	03/02/2026
B	New York	Agent	Approved	05/10/2024
B	North Carolina	Agent	Approved	03/02/2026



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	05/10/2024
B Texas	Agent	Approved	05/10/2024
IA Texas	Investment Adviser Representative	Restricted Approval	05/10/2024
B Washington	Agent	Approved	05/10/2024

Branch Office Locations

WELLS FARGO ADVISORS
601 CALIFORNIA SUITE 1168
[SATELLITE]
SAN FRANCISCO, CA 94108

WELLS FARGO ADVISORS
500 YGNACIO VALLEY RD 430
[SATELLITE]
WALNUT CREEK, CA 94596

WELLS FARGO ADVISORS
KOLOA, HI



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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	08/13/1998
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/03/2000
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B Uniform Securities Agent State Law Examination (S63)	Series 63	08/20/1998
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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	10/23/2015 - 05/21/2024	MORGAN STANLEY	CRD# 149777	Pleasanton, CA
IA	10/23/2015 - 05/21/2024	MORGAN STANLEY	CRD# 149777	Pleasanton, CA
B	08/10/2007 - 10/27/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SAN FRANCISCO, CA
IA	08/10/2007 - 10/27/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SAN FRANCISCO, CA
IA	09/05/2000 - 08/21/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAN FRANCISCO, CA
B	09/01/2000 - 08/21/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	11/05/1999 - 09/15/2000	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	09/23/1998 - 11/09/1999	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	08/14/1998 - 10/09/1998	FASCO INTERNATIONAL, INC.	CRD# 31009	WALNUT, CA

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
05/2024 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	SAN FRANCISCO, CA, United States
02/2018 - 05/2024	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
11/2015 - 05/2024	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
10/2015 - 05/2024	MORGAN STANLEY	FINANCIAL ADVISOR	Y	PLEASANTON, CA, United States



Registration & Employment History



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.

OMAO WM LLC; INV RELATED; WALNUT CREEK, CA; 100% OWNERSHIP; START 09/01/2024; 2 HOURS PER MONTH; 2 HOURS DURING TRADING; FINET PRACTICE.



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
Criminal	1
Customer Dispute	3

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	MUNICIPAL COURT OF CALIFORNIA, BUTTE COUNTY
Charge Date:	05/22/1992
Charge Details:	1 COUNT OF THEFT/PETTY THEFT; MISDEMEANOR; KEG OF BEER
Felony?	No
Current Status:	Final
Status Date:	06/11/1992
Disposition Details:	DISMISSED; NO PROBATION; PENALTY TO FIX DOOR \$250.00
Broker Statement	STOLE KEG FROM BACK OF RESTAURANT-LATER RETURNED; CHARGE DROPPED 5/22/92.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY
Allegations:	CLIENT ALLEGES, INTER ALIA, UNAUTHORIZED TRADING IN HIS ACCOUNTS. 2020
Product Type:	Options
Alleged Damages:	\$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/04/2020
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	10/20/2020
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	THE CUSTOMER ALLEGES AN UNSUITABLE INVESTMENT RECOMMENDATION, UNAUTHORIZED TRADING AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS FROM FEBRUARY 2012 TO MAY 2012.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$37,882.00
Is this an oral complaint?	No
Is this a written complaint?	Yes



Is this an arbitration/CFTC
reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/25/2013

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 09/09/2013

Settlement Amount:

Individual Contribution
Amount:

Arbitration Information

Arbitration/CFTC reparation
claim filed with (FINRA, AAA,
CFTC, etc.): FINRA

Docket/Case #: 13-02203

Date Notice/Process Served: 09/09/2013

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/06/2013

Monetary Compensation
Amount: \$14,900.00

Individual Contribution
Amount: \$0.00

Broker Statement THIS MATTER WAS SETTLED IN ORDER TO AVOID THE COST AND
UNCERTAINTY OF LITIGATION. THE FINANCIAL ADVISOR DID NOT
CONTRIBUTE MONETARILY TOWARDS THE SETTLEMENT.

Disclosure 3 of 3

Reporting Source: Regulator

Employing firm when
activities occurred which led
to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: BREACH OF FIDUCIARY DUTY; BREACH OF CONTRACT; FRAUD;
UNSUITABILITY; NEGLIGENCE

Product Type: Other: PRIVATE EQUITY LIMITED PARTNERSHIPS

Alleged Damages:

Arbitration Information

Arbitration/Reparation Claim
filed with and Docket/Case
No.: FINRA - CASE #10-01972

Date Notice/Process Served: 04/27/2010

Arbitration Pending? No



Disposition: Settled
Disposition Date: 04/11/2011
Disposition Detail: ON OR ABOUT APRIL 11, 2011, CLAIMANT NOTIFIED FINRA THAT THE PARTIES REACHED A SETTLEMENT AGREEMENT; THEREFORE, THE ARBITRATION PANEL MADE NO DETERMINATION WITH RESPECT TO CLAIMANT'S CLAIMS AGAINST RESPONDENTS.

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Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.
Allegations: CLAIMANT ALLEGES UNSUITABLE RECOMMENDATIONS IN CONNECTION WITH CLAIMANT'S RETIREMENT PORTFOLIO.
TIME FRAME: 2/1/2004 THRU 3/1/2009
Product Type: Other: PRIVATE EQUITIES
Alleged Damages: \$703,578.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/13/2009
Complaint Pending? No
Status: Closed/No Action
Status Date: 08/24/2009
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 10-01972
Date Notice/Process Served: 05/10/2010
Arbitration Pending? No
Disposition: Settled
Disposition Date: 04/20/2011
Monetary Compensation Amount: \$240,000.00
Individual Contribution Amount: \$0.00

Firm Statement THE CUSTOMER COMPLAINT PREVIOUSLY CLOSED/NO ACTION.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC

Allegations: CLAIMANT ALLEGES UNSUITABLE RECOMMENDATIONS IN CONNECTION WITH CLAIMANT'S RETIREMENT PORTFOLIO. TIME FRAME? 2/1/2004 THRU 3/1/2009.

Product Type: Other: PRIVATE EQUITIES

Alleged Damages: \$703,578.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/13/2009

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/24/2009

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 10-01972

Date Notice/Process Served: 05/10/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/20/2011

Monetary Compensation Amount: \$240,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE CUSTOMER COMPLAINT PREVIOUSLY CLOSED/NO ACTION.



End of Report

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