User Guidance

www.adviserinfo.sec.gov

IAPD Report

JAMES SCOTT DOIDGE

CRD# 3178565

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 SCOTT DOIDGE (CRD# 3178565)

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 **06/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ONEAMERICA SECURITIES, INC.	CRD# 4173	02/03/2017
B	ONEAMERICA SECURITIES, INC.	CRD# 4173	02/08/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	PUEBLO, CO	06/08/2012 - 01/20/2017
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	PUEBLO, CO	06/08/2012 - 01/20/2017
B	MORGAN STANLEY SMITH BARNEY	149777	PUEBLO, CO	06/01/2009 - 06/18/2012

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
Customer Dispute	3
Termination	1
Financial	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 **14** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ONEAMERICA SECURITIES, INC.**

Main Address: ONE AMERICAN SQUARE
INDIANAPOLIS, IN 46282

Firm ID#: 4173

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	02/08/2017
B	FINRA	General Securities Representative	Approved	02/08/2017
B	FINRA	General Securities Sales Supervisor	Approved	02/08/2017
B	Arizona	Agent	Approved	02/13/2020
IA	Arizona	Investment Adviser Representative	Approved	02/18/2020
IA	California	Investment Adviser Representative	Approved	02/03/2017
B	California	Agent	Approved	02/08/2017
B	Colorado	Agent	Approved	03/16/2017
IA	Colorado	Investment Adviser Representative	Approved	03/16/2017
B	Connecticut	Agent	Approved	04/23/2024
IA	Florida	Investment Adviser Representative	Approved	12/22/2020
B	Florida	Agent	Approved	08/18/2025
B	Kansas	Agent	Approved	06/18/2026

Qualifications

	Regulator	Registration	Status	Date
IA	Kentucky	Investment Adviser Representative	Approved	01/08/2024
B	Kentucky	Agent	Approved	01/30/2024
IA	New Mexico	Investment Adviser Representative	Approved	09/18/2020
B	New Mexico	Agent	Approved	10/02/2024
IA	Oregon	Investment Adviser Representative	Approved	03/05/2021
B	Pennsylvania	Agent	Approved	10/03/2022
B	Rhode Island	Agent	Approved	05/01/2024
B	Tennessee	Agent	Approved	09/29/2023
B	Texas	Agent	Approved	01/18/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	01/18/2018
B	Wyoming	Agent	Approved	04/02/2026
IA	Wyoming	Investment Adviser Representative	Approved	04/02/2026

Branch Office Locations

ONEAMERICA SECURITIES, INC.
9375 E Shea Blvd
Suite 114
Scottsdale, AZ 85260

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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	05/19/2003
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	05/05/2003
B	General Securities Principal Examination (S24)	Series 24	04/14/2001

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	08/10/2009
B	Futures Managed Funds Examination (S31)	Series 31	04/27/2004
B	General Securities Representative Examination (S7)	Series 7	03/22/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/29/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/16/1999

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	06/08/2012 - 01/20/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	PUEBLO, CO
IA	06/08/2012 - 01/20/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	PUEBLO, CO
B	06/01/2009 - 06/18/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	PUEBLO, CO
IA	06/01/2009 - 06/18/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	PUEBLO, CO
B	05/11/2007 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PUEBLO, CO
IA	05/11/2007 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PUEBLO, CO
IA	05/23/2003 - 05/17/2007	RBC DAIN RAUSCHER INC.	CRD# 31194	PUEBLO, CO
B	11/11/2002 - 05/17/2007	RBC DAIN RAUSCHER INC.	CRD# 31194	PUEBLO, CO
B	04/09/1999 - 11/13/2002	AMERITAS INVESTMENT CORP.	CRD# 14869	LINCOLN, NE
B	03/24/1999 - 04/16/1999	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, 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
02/2017 - Present	OneAmerica Securities	Registered Rep	Y	Pueblo, CO, United States
01/2017 - Present	American United Life	Agent	N	Pueblo, CO, United States
11/2016 - 01/2017	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	COLORADO SPRINGS, CO, United States
06/2012 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	COLORADO SPRINGS, CO, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location

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.

Non-variable insurance sales (fixed life, fixed annuities)**Owner: Spence, Cassidy Wealth Partners, LLC-fixed insurance sales**Owner: IST (Income Solutions Technologies), LLC-educational software; revenue from software subscriptions**Sales: Estate Documents Pro-estate planning software**Co-Founder: Acervus Systems-Data Management**Introducing Broker: Britehorn Partners-Mergers and Acquisitions

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
Customer Dispute	3
Termination	1
Financial	1

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:	Firm
Employing firm when activities occurred which led to the complaint:	RBC Capital Markets LLC, dba RBC Wealth Management fka RBC Dain Rauscher Inc.
Allegations:	Claimant alleges investments were unsuitable and that her account was churned and over-concentrated in equities. The allegation period at RBC is from 10/2003 to 5/2007.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$528,200.00
Alleged Damages Amount Explanation (if amount not exact):	This demand is against all parties - including RBC, Citigroup and Morgan Stanley.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-02243
Date Notice/Process Served:	10/22/2015
Arbitration Pending?	No
Disposition:	Dismissed

Disposition Date:	01/07/2016
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00
Firm Statement	RBC was dismissed from the arbitration on January 7, 2016. Arbitration was still pending at that time but subsequently settled with another respondent in February 2017.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Citigroup Global Markets, Inc.
Allegations:	Claimant alleges that from 2003 - 2014 FA unsuitably invested her account using inappropriately high levels of account turn over and concentration in individual securities.
Product Type:	Equity-OTC
Alleged Damages:	$528,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-02243
Date Notice/Process Served:	10/21/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/03/2017
Monetary Compensation Amount:	$105,000.00
Individual Contribution Amount:	$0.00
Firm Statement	The firm decided to settle this matter to avoid the costs and risks of protracted litigation. We continue to deny the allegations alleged in the claim. The registered person did not contribute to the settlement.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Citigroup Global Markets, Inc.
Allegations:	Claimant alleges that from 2003 -2014 FA unsuitably invested her account using inappropriately high levels of account turn over and concentration in individual securities.
Product Type:	Equity-OTC
Alleged Damages:	$528,000.00

Arbitration Information

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

Docket/Case #: 15-02243

Date Notice/Process Served: 10/21/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/02/2017

Monetary Compensation Amount: $85,000.00

Individual Contribution Amount: $0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Citigroup Global Markets, Inc.

Allegations: Claimant alleges that from 2003 -2014 FA unsuitably invested her account using inappropriately high levels of account turn over and concentration in individual securities.

Product Type: Equity-OTC

Alleged Damages: $528,000.00

Arbitration Information

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

Docket/Case #: 15-02243

Date Notice/Process Served: 10/22/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/02/2017

Monetary Compensation Amount: $85,000.00

Individual Contribution Amount: $0.00

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS, INC.; MORGAN STANLEY SMITH BARNEY LLC

Allegations: CLIENT ALLEGES FAILURE TO FOLLOW INSTRUCTIONS WITH RESPECT TO

	INVESTMENT GUIDELINES - 04/27/09 - 01/10/11. DAMAGES UNSPECIFIED.
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
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:	06/09/2011
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	06/09/2011
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-02126
Date Notice/Process Served:	06/09/2011
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/14/2012
Monetary Compensation Amount:	$70,375.00
Individual Contribution Amount:	$0.00
Firm Statement	DRP FILED IN ERROR. PLEASE ARCHIVE. THE ARBITRATION AND CUSTOMER COMPLAINT ARE ACTUALLY RELATED. FILED IN ERROR, PLEASE ARCHIVE.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY SMITH BARNEY
Allegations:	CLIENT ALLEGES FAILURE TO FOLLOW INSTRUCTIONS WITH RESPECT TO INVESTMENT GUIDELINES - 04/27/09 - 01/10/11. DAMAGES UNSPECIFIED.
Product Type:	Mutual Fund

Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIDIED

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-02126
Date Notice/Process Served:	06/09/2011
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/14/2012
Monetary Compensation Amount:	$70,375.00
Individual Contribution Amount:	$0.00
Firm Statement	DRP FILED IN ERROR, PLEASE ARCHIVE. THE ARBITRAION AND CUSTOMER COMPLAINT ARE ACTUALLY RELATED. FILED IN ERROR, PLEASE ARCHIVE

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS, INC; MORGAN STANLEY SMITH BARNEY LLC
Allegations:	CLIENT ALLEGES FAILURE TO FOLLOW INSTRUCTIONS WITH RESPECT TO INVESTMENT GUIDELINES - 04/27/09 - 01/10/11. DAMAGES UNSPECIFIED.
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-02126
Date Notice/Process Served:	06/09/2011
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/14/2012

Monetary Compensation Amount:	$70,375.00
Individual Contribution Amount:	$0.00
Broker Statement	DRP FILED IN ERROR. PLEASE ARCHIVE. THE ARBITRATION AND CUSTOMER COMPLAINT ARE ACTUALLY RELATED. FILED IN ERROR, PLEASE ARCHIVE.

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY SMITH BARNEY
Allegations:	CLAIMANT ALLEGES, INTER ALIA, THAT FROM 2009 THROUGH 2010 THE FINANCIAL ADVISOR MISREPRESENTED UNSUITABLE INVESTMENTS TO THE CLAIMANT.
Product Type:	Options
Alleged Damages:	$483,449.00
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:	06/09/2011
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	06/09/2011
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-02126
Date Notice/Process Served:	06/09/2011
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/14/2012
Monetary Compensation Amount:	$70,375.00
Individual Contribution	$0.00

Individual Contribution Amount: $0.00

Firm Statement THE CUSTOMER COMPLAINT ESCALATED INTO AN ARBITRATION, AS THE TWO ARE ACTUALLY RELATED.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS, INC.; MORGAN STANLEY SMITH BARNEY LLC
Allegations:	CLIENT ALLEGES FAILURE TO FOLLOW INSTRUCTIONS WITH RESPECT TO INVESTMENT GUIDELINES - 04/27/09 - 01/10/11. DAMAGES UNSPECIFIED.
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
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:	06/09/2011
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	06/09/2011
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-02126
Date Notice/Process Served:	06/09/2011
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/14/2012
Monetary Compensation Amount:	$70,375.00
Individual Contribution Amount:	$0.00

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:	01/04/2017
Allegations:	FA failed to update firm records to reflect the new address of a customer who moved from one state to another.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	Wells Fargo Advisors
Termination Type:	Discharged
Termination Date:	01/04/2017
Allegations:	FA failed to update firm records to reflect the new address of a customer who moved from one state to another.
Product Type:	No Product

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	04/24/2017
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	United States Bankruptcy Court - District of Colorado
Location of Court:	Denver, CO
Docket/Case #:	17-13685-TBM
Action Pending?	No
Disposition:	Discharged
Disposition Date:	07/09/2019

End of Report

This page is intentionally left blank.

