User Guidance

www.adviserinfo.sec.gov

IAPD Report

EDWARD JOHN MURPHY

CRD# 3264621

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

EDWARD JOHN MURPHY (CRD# 3264621)

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 **11/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	02/16/2016
IA	WELLS FARGO ADVISORS	CRD# 11025	08/02/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **32** 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	AMERIPRISE FINANCIAL SERVICES, INC.	6363	GARDEN CITY, NY	09/15/1999 - 02/18/2016
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	GARDEN CITY, NY	02/05/2009 - 12/31/2014
B	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	09/15/1999 - 07/03/2006

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	1
Criminal	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 **32** 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 Principal	Approved	02/16/2016
B	FINRA	General Securities Representative	Approved	02/16/2016
B	Alaska	Agent	Approved	11/24/2025
B	Arizona	Agent	Approved	01/07/2021
B	California	Agent	Approved	07/21/2016
B	Colorado	Agent	Approved	11/25/2025
B	Connecticut	Agent	Approved	02/16/2016
B	Delaware	Agent	Approved	09/12/2017
B	Florida	Agent	Approved	01/07/2020
B	Georgia	Agent	Approved	02/16/2016
B	Idaho	Agent	Approved	09/21/2016
B	Illinois	Agent	Approved	03/27/2023
B	Indiana	Agent	Approved	12/08/2025

Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	06/05/2017
B	Kentucky	Agent	Approved	01/10/2018
B	Maine	Agent	Approved	11/24/2025
B	Maryland	Agent	Approved	02/16/2016
B	Massachusetts	Agent	Approved	02/14/2020
B	Michigan	Agent	Approved	11/26/2025
B	Minnesota	Agent	Approved	11/26/2025
B	Missouri	Agent	Approved	02/16/2016
B	Nevada	Agent	Approved	12/14/2021
B	New Hampshire	Agent	Approved	05/12/2017
B	New Jersey	Agent	Approved	02/16/2016
B	New York	Agent	Approved	02/16/2016
IA	New York	Investment Adviser Representative	Approved	08/02/2021
B	North Carolina	Agent	Approved	02/16/2016
B	North Dakota	Agent	Approved	12/01/2025
B	Oregon	Agent	Approved	02/16/2016
B	Pennsylvania	Agent	Approved	02/16/2016
B	Rhode Island	Agent	Approved	11/25/2025
B	South Carolina	Agent	Approved	02/16/2016

Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	02/16/2016
B	Washington	Agent	Approved	11/24/2025
B	West Virginia	Agent	Approved	03/15/2021

Branch Office Locations

WELLS FARGO ADVISORS
401 BROADHOLLOW RD
MELVILLE, NY 11747

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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/03/2005

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/14/1999

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/21/1999

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	09/15/1999 - 02/18/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	GARDEN CITY, NY
IA	02/05/2009 - 12/31/2014	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	GARDEN CITY, NY
B	09/15/1999 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
02/2016 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	MELVILLE, 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.

RENTAL PROPERTY; INV RELATED; BELLEAIR BEACH, FL; OWNER; VACATION HOME; START: 10/1/16; 1 HR/MO; 0 DURING TRADING.
EDWARD J MURPHY INC, LLC; INVESTMENT RELATED; BELLEAIR BEACH, FL; 100% OWNERSHIP; START DATE 8/9/2024; NUMBER OF HOURS PER MONTH 1; NUMBER OF HOURS DURING TRADING 0; MANAGING EXPENSES FOR BUSINESS OF RENTAL PROPERTY.
FMRG HOLDINGS, LLC, INVT RELATED, MELVILLE, NY, 8.33% OWNERSHIP, START DATE 2/4/2021, 1 HR PER MONTH, 0 HRS DURING TRADING, REAL ESTATE GROUP FOR FINET BRANCH OFFICE.
BUSINESS ADMINISTRATION SERVICES, INC, INVT RELATED, HUNTINGTON, NY, 100% OWNERSHIP, START DATE 12/1/2024, 2 HRS PER MONTH, 0 HRS DURING TRADING. PAYROLL EXPENSES FOR 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
Regulatory Event	1
Criminal	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Denial
Date Initiated:	12/29/2017
Docket/Case Number:	87290-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Advisors Financial Network, LLC.
Product Type:	No Product
Allegations:	Making a material misstatement on the application for registration.
Current Status:	Final
Resolution:	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:	12/16/2019
Sanctions Ordered:	Denial

Regulator Statement	On 12/16/2019, the Office of Financial Regulation entered a Final Order adopting the stipulation and consent agreement in the matter of Edward John Murphy. Mr. Murphy neither admitted nor denied the findings but consented to the entry of findings, and solely for the purpose of the proceeding, prior to a hearing and without an adjudication of any issue of law or fact, to the entry of the following findings by the Office. The Office found that Edward John Murphy made a material misstatement on his application for registration. Pursuant to the Order, Edward John Murphy's application for registration as an associated person (AG) of Wells Fargo Advisors Financial Network, LLC is denied; and Edward John Murphy may immediately reapply for registration as broker dealer associated person with Wells Fargo Advisors Financial Network, LLC.

Reporting Source:	Individual
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Denial
Date Initiated:	12/29/2017
Docket/Case Number:	87290-SR
Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Advisors Financial Network, LLC.
Product Type:	No Product
Allegations:	Making a material misstatement on the application for registration.
Current Status:	Final
Resolution:	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:	12/16/2019
Sanctions Ordered:	Denial
Broker Statement	On 12/16/2019, the Florida Office of Financial Regulation entered a Final Order adopting the stipulation and consent agreement in the matter of Edward John Murphy. Mr. Murphy neither admitted nor denied the findings but consented to the entry of findings, and solely for the purpose of the proceeding, prior to a hearing and without an adjudication of any issue of law or fact, to the entry of the following findings by the Office. The Office found that Edward John Murphy made a material misstatement on his application for registration. Pursuant to the Order, Edward John Murphy's application for registration as an associated person (AG) of Wells Fargo Advisors Financial Network, LLC is denied; and Edward John Murphy may immediately reapply for registration as broker dealer associated person with Wells Fargo Advisors Financial Network, LLC.Approximately 38 years ago, while I was a 22-year-old college student in Florida, I purchased groceries at a local grocery store with a check in the amount of $42.38. Unfortunately, I accidentally paid for this transaction via check from an account that I recently closed in anticipation of going back home to New York for break. Upon my return to college , I was charged with writing a worthless check. Upon advice of counsel, I pleaded nolo

contendere, adjudication was withheld and I made full restitution to the store and paid $35 in court costs. For over 20 years I have been registered in multiple states throughout the country since 1999 with a pristine record of zero client complaints and no regulatory or company issues. I was also previously registered in Florida beginning in 2001 without incident for more than 10 years. I did not report the Florida check incident as I believed I was not required to. It is on this basis that Florida denied my application for registration. I entered into the Stipulation with Florida to avoid the additional mounting costs of litigation.

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
Formal Charges were brought in:	County
Name of Court:	Hillsborough County, FL
Location of Court:	Hillsborough County, FL
Docket/Case #:	82-12030A
Charge Date:	07/16/1982
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Worthless Check
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Nolo Contendere
Disposition of charge:	Deferred Adjudication
Current Status:	Final
Status Date:	11/10/1982
Disposition Date:	11/10/1982
Sentence/Penalty:	Adjudication, $35 court costs

End of Report

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