



IAPD Report

KAREN A SLOAN

CRD# 4008776

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8



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

KAREN A SLOAN (CRD# 4008776)

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 **08/15/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	04/10/2018
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	04/10/2018

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **53** 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	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	ST. LOUIS, MO	07/22/2014 - 11/17/2017
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	ST LOUIS, MO	07/22/2014 - 11/17/2017
IA	FIRST ALLIED ADVISORY SERVICES, INC.	137888	CHESTERFIELD, MO	01/01/2007 - 07/24/2014

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?

No



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 **53** jurisdiction(s) and 6 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#: 19616

	Regulator	Registration	Status	Date
B	Cboe Exchange, Inc.	General Securities Principal	Approved	09/11/2021
B	Cboe Exchange, Inc.	General Securities Representative	Approved	09/11/2021
B	FINRA	General Securities Principal	Approved	04/10/2018
B	FINRA	General Securities Representative	Approved	04/10/2018
B	NYSE American LLC	General Securities Principal	Approved	04/10/2018
B	NYSE American LLC	General Securities Representative	Approved	04/10/2018
B	Nasdaq PHLX LLC	General Securities Principal	Approved	04/10/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	04/10/2018
B	Nasdaq Stock Market	General Securities Principal	Approved	04/10/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	04/10/2018
B	New York Stock Exchange	General Securities Principal	Approved	04/10/2018
B	New York Stock Exchange	General Securities Representative	Approved	04/10/2018
B	Alabama	Agent	Approved	04/24/2018



Qualifications

	Regulator	Registration	Status	Date
B	Alaska	Agent	Approved	04/24/2018
B	Arizona	Agent	Approved	04/24/2018
B	Arkansas	Agent	Approved	04/24/2018
B	California	Agent	Approved	04/24/2018
B	Colorado	Agent	Approved	04/24/2018
B	Connecticut	Agent	Approved	04/24/2018
B	Delaware	Agent	Approved	04/24/2018
B	District of Columbia	Agent	Approved	04/24/2018
B	Florida	Agent	Approved	04/24/2018
B	Georgia	Agent	Approved	04/24/2018
B	Hawaii	Agent	Approved	04/24/2018
B	Idaho	Agent	Approved	04/24/2018
B	Illinois	Agent	Approved	04/24/2018
B	Indiana	Agent	Approved	04/24/2018
B	Iowa	Agent	Approved	04/24/2018
B	Kansas	Agent	Approved	04/24/2018
B	Kentucky	Agent	Approved	04/24/2018
B	Louisiana	Agent	Approved	04/24/2018
B	Maine	Agent	Approved	04/24/2018



Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	04/24/2018
B	Massachusetts	Agent	Approved	04/24/2018
B	Michigan	Agent	Approved	04/24/2018
B	Minnesota	Agent	Approved	04/24/2018
B	Mississippi	Agent	Approved	04/24/2018
B	Missouri	Agent	Approved	04/10/2018
IA	Missouri	Investment Adviser Representative	Approved	04/10/2018
B	Montana	Agent	Approved	04/24/2018
B	Nebraska	Agent	Approved	04/24/2018
B	Nevada	Agent	Approved	04/24/2018
B	New Hampshire	Agent	Approved	04/24/2018
B	New Jersey	Agent	Approved	04/24/2018
B	New Mexico	Agent	Approved	04/24/2018
B	New York	Agent	Approved	04/24/2018
B	North Carolina	Agent	Approved	04/26/2018
B	North Dakota	Agent	Approved	04/24/2018
B	Ohio	Agent	Approved	04/25/2018
B	Oklahoma	Agent	Approved	04/24/2018
B	Oregon	Agent	Approved	04/24/2018



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	04/24/2018
B Puerto Rico	Agent	Approved	04/24/2018
B Rhode Island	Agent	Approved	04/24/2018
B South Carolina	Agent	Approved	04/24/2018
B South Dakota	Agent	Approved	04/24/2018
B Tennessee	Agent	Approved	04/24/2018
B Texas	Agent	Approved	04/24/2018
B Utah	Agent	Approved	04/24/2018
B Vermont	Agent	Approved	04/24/2018
B Virgin Islands	Agent	Approved	04/24/2018
B Virginia	Agent	Approved	04/24/2018
B Washington	Agent	Approved	04/24/2018
B West Virginia	Agent	Approved	04/24/2018
B Wisconsin	Agent	Approved	04/24/2018
B Wyoming	Agent	Approved	04/24/2018

Branch Office Locations

WELLS FARGO ADVISORS
ONE N JEFFERSON AVE
ST. LOUIS, MO 63103



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 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	04/17/2006

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	09/20/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/16/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/04/1999



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	07/22/2014 - 11/17/2017	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	ST. LOUIS, MO
IA	07/22/2014 - 11/17/2017	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	ST LOUIS, MO
IA	01/01/2007 - 07/24/2014	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	CHESTERFIELD, MO
B	06/02/2008 - 07/22/2014	FIRST ALLIED SECURITIES, INC.	CRD# 32444	CHESTERFIELD, MO
B	03/14/2006 - 06/02/2008	FFP SECURITIES, INC.	CRD# 16337	CHESTERFIELD, MO
IA	03/14/2006 - 01/01/2007	FFP ADVISORY SERVICES INC	CRD# 110778	CHESTERFIELD, MO
B	12/06/2005 - 03/13/2006	METLIFE SECURITIES INC.	CRD# 14251	ST. LOUIS, MO
IA	12/06/2005 - 03/13/2006	METLIFE SECURITIES INC.	CRD# 14251	ST. LOUIS, MO
B	12/06/2005 - 03/13/2006	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	ST. LOUIS, MO
IA	06/17/2005 - 12/31/2005	CITISTREET FINANCIAL SERVICES LLC	CRD# 107311	MILWAUKEE, WI
B	05/12/2005 - 12/31/2005	CITISTREET EQUITIES LLC	CRD# 7447	SOMERSET, NJ
B	05/18/2004 - 09/03/2004	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	06/10/2003 - 05/14/2004	ONEAMERICA SECURITIES, INC.	CRD# 4173	INDIANAPOLIS, IN
B	07/23/2001 - 07/18/2003	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	09/21/1999 - 01/31/2000	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	09/21/1999 - 01/31/2000	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN



Registration & Employment History

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
04/2018 - Present	WELLS FARGO CLEARING SERVICES	REGISTERED REP	Y	ST. LOUIS, MO, United States
11/2017 - 03/2018	Unemployed	Unemployed	N	Ballwin, MO, United States
07/2014 - 10/2017	STIFEL NICOLAUS & CO INC	COMPLIANCE	Y	ST. LOUIS, MO, 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.

JOHN HANCOCK TRAIL COMMISSIONS, INV RELATED, BALLWIN, MO, START: 4/12/2018, 0 HOURS, NO DUTIES.



End of Report

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