



IAPD Report

ALAN BRIAN WATTS

CRD# 4430412

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

i 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

ALAN BRIAN WATTS (CRD# 4430412)

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 **05/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 11025	03/12/2018
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	03/12/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	MISSION VIEJO, CA	01/01/2008 - 03/12/2018
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	MISSION VIEJO, CA	01/01/2008 - 03/12/2018
B	A. G. EDWARDS & SONS, INC.	4	SAN JUAN CAPISTRANO, CA	10/30/2001 - 01/03/2008

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	2
Customer Dispute	2



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 **23** 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	03/12/2018
B	Arizona	Agent	Approved	03/12/2018
B	California	Agent	Approved	03/12/2018
IA	California	Investment Adviser Representative	Approved	03/13/2018
B	Colorado	Agent	Approved	03/12/2018
B	Connecticut	Agent	Approved	03/12/2018
B	District of Columbia	Agent	Approved	10/09/2019
B	Florida	Agent	Approved	04/04/2019
B	Hawaii	Agent	Approved	03/12/2018
B	Idaho	Agent	Approved	11/22/2023
B	Illinois	Agent	Approved	03/13/2018
B	Kentucky	Agent	Approved	07/22/2020
B	Massachusetts	Agent	Approved	06/05/2018



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	03/12/2018
B New Mexico	Agent	Approved	05/28/2026
B New York	Agent	Approved	03/12/2018
B Oregon	Agent	Approved	03/13/2018
B Pennsylvania	Agent	Approved	03/12/2018
B South Carolina	Agent	Approved	05/29/2026
B Tennessee	Agent	Approved	03/12/2018
B Texas	Agent	Approved	03/12/2018
IA Texas	Investment Adviser Representative	Approved	03/12/2018
B Utah	Agent	Approved	04/11/2022
B Virginia	Agent	Approved	11/22/2022
B Washington	Agent	Approved	03/13/2018
B West Virginia	Agent	Approved	03/12/2018

Branch Office Locations

WELLS FARGO ADVISORS
300 SPECTRUM CENTER DR STE 845
[SATELLITE]
IRVINE, CA 92618

WELLS FARGO ADVISORS
San Juan Capistrano, CA



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
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

General Securities Representative Examination (S7)	Series 7	10/11/2001
--	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Investment Adviser Law Examination (S65)	Series 65	07/09/2015
--	-----------	------------

Uniform Securities Agent State Law Examination (S63)	Series 63	11/08/2001
--	-----------	------------

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	01/01/2008 - 03/12/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	MISSION VIEJO, CA
IA	01/01/2008 - 03/12/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	MISSION VIEJO, CA
B	10/30/2001 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	SAN JUAN CAPISTRAN
IA	06/21/2002 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	SAN JUAN CAPISTRAN

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
03/2018 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	IRVINE, CA, United States
11/2016 - 03/2018	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	MISSION VIEJO, CA, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	MISSION VIEJO, CA, 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.

1. RENTAL PROPERTY; INV RELATED; SAN CLEMENTE, CA; 100% OWNERSHIP; START 5/1/2008; 4 HRS PER MTH/0 DURING MARKET; COLLECT RENT.
2. RENTAL PROPERTY; INV RELATED; SAN CLEMENTE, CA; RENTAL PROPERTY; OWNER; START 4/20/2011; 2 HRS PER MONTH; 0 HRS DURING TRADING; DUTIES: COLLECT RENT, PAY BILLS.
3. RENTAL PROPERTY; INV RELATED; SAN CLEMENTE, CA; RENTAL PROPERTY; OWNER; START 4/20/2011; 2 HRS PER MONTH; 0 HRS DURING TRADING; DUTIES: COLLECT RENT, PAY BILLS. -
4. 210 WEST VERMONT AVE APARTMENT BUILDING; INV RELATED; ANAHEIM, CA; SOLE OWNER; START 6/30/2011; 4 HOURS DEVOTED PER MONTH; NONE DURING TRADING HOURS.-
5. PACIFIC PROPERTIES PLUS; INV RELATED; SAN CLEMENTE, CA; SOLE PROPRIETORSHIP FOR RENTAL INCOME; 100% OWNERSHIP; START 6/1/2011; 5 HOURS DEVOTED PER MONTH; NONE DURING TRADING HOURS.
6. OC AIRVENTURES LLC; NOT INV RELATED; SAN CLEMENTE, CA; 100% OWNERSHIP; START 1/1/2018; 8 HRS PER MONTH; 0 HRS DURING TRADING, AIRPLANE OWNERSHIP.
7. CASTLE PROPERTY HOLDINGS, LLC; INV. RELATED; SAN CLEMENTE, CA; OWNER; REAL ESTATE INVESTMENT; START 8/25/2017; 2 HRS PER MONTH; 0 HRS DURING TRADING; DUTIES: PAYING BILLS AND COLLECTING RENTS.
8. GARDEN OF THE GODS STRIP MALL; INV. RELATED; SAN CLEMENTE, CA; OWNER; RETAIL STRIP; START 8/25/2017; 2



Registration & Employment History



OTHER BUSINESS ACTIVITIES

HRS PER MONTH; 0 HRS DURING TRADING.

9. RENTAL PROPERTY; INV. RELATED; LAWRENCE, KS; OWNER; OWN PROPERTY THAT IS LEASED TO QDOBA; START 8/25/2017; 2 HRS PER MONTH; 0 HRS DURING TRADING.

10. RENTAL PROPERTY; INV. RELATED; BELLEVUE, NE; OWNER; OWN PROPERTY THAT IS LEASED TO BURGER KING; START 8/25/2017; 2 HRS PER MONTH; 0 HRS DURING TRADING.

11. RENTAL PROPERTY; INV RELATED; ATLANTA, GA; OWNER; LAND/PROPERTY LEASED TO KRYSTAL'S BURGERS; START 11/30/2018; 0 HR/MO; 0 DURING TRADING.

12. CASTLE WEALTH MANAGEMENT GROUP; INVESTMENT RELATED; IRVINE,CA; 100% OWNERSHIP; START 4/11/2018; NUMBER OF HOURS PER MONTH 5; NUMBER OF HOURS DURING TRADING 0; CEO.

13. DOWNERS GROVE STRIP LLC, INV RELATED, DOWNERS GROVE, IL, 50% OWNERSHIP, START 2/1/2019, 0 HRS/MONTH, 0 HRS DURING TRADING.

14. L33JETS.COM, NOT INV RELATED, CARLSBAD, CA, PILOT, START 5/1/2021, 15 HOURS PER MONTH, ZERO HOURS DURING TRADING, JET CHARTER.

15. CASTLE WEALTH MANAGEMENT GROUP 401K; INVESTMENT RELATED; IRVINE,CA; TRUSTEE; FINET 401K START 5/2018; 0 HRS PER MONTH.

16. FAST & FAR LLC, NOT INV RELATED, IRVINE, CA, 100% OWNERSHIP, START 4/28/2023, ZERO HOURS PER MONTH, ZERO HOURS DURING TRADING, HOLDS AIRPLANE.

17. LITTLE WING AVIATION LLC, NOT INV RELATED, IRVINE, CA, 100% OWNERSHIP, START 4/13/2023, ZERO HOURS PER MONTH, ZERO HOURS DURING TRADING, HOLDS AIRPLANE.

WATTS GP, LLC ; INV RELATED;IRVINE,CA; MERCHANT PARTNERSHIP;90% OWNERSHIP; START DATE: 02/28/2026; 5 HRS PER MONTH; 0 HRS DURING TRADING;



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	2
Customer Dispute	2

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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	CALIFORNIA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	10/27/2003
Docket/Case Number:	LBB 0337-AP
Employing firm when activity occurred which led to the regulatory action:	A. G. EDWARDS & SONS, INC.
Product Type:	Insurance
Other Product Type(s):	
Allegations:	APPLICATION FOR INSURANCE LICENSE DENIED. A RESTRICTED LICENSE SHALL BE ISSUED IF HE MAKES APPLICATION FOR RESTRICTED LICENSE WITHIN 90 DAYS
Current Status:	Final
Resolution:	Order
Resolution Date:	02/20/2004
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	INSURANCE APPLICATION DENIED. HE MA APPLY FOR A RESTRICTED LICENSE



Sanction Details: INSURANCE APPLICATION DENIED. HE MAY APPLY FOR A RESTRICTED LICENSE.

Disclosure 2 of 2

Reporting Source: Individual

Regulatory Action Initiated By: CALIFORNIA DEPARTMENT OF INSURANCE

Sanction(s) Sought: Denial

Other Sanction(s) Sought:

Date Initiated: 04/03/2002

Docket/Case Number: FILE NO: LBB 0337-A

Employing firm when activity occurred which led to the regulatory action: A. G. EDWARDS & SONS, INC.

Product Type: No Product

Other Product Type(s):

Allegations: CALIFORNIA INSURANCE LICENSE APPLICATION AND LICESING RIGHTS DENIED; CA INSURANCE CODE AUTHORIZES THE INSURANCE COMMISSIONER TO DENY WITHOUT HEARING THE LICENSE APPLICATION OF A PERSON WHO HAS COMMITTED A FELONY AS SHOWN BY A PLEA OF GUILTY OR NOLO CONTENDRE OR BY A FINAL JUDGEMENT OF CONVICTION. MR. WATTS WAS CONVICTED OF A FELONY IN THE PAST. THE CONVICTION HAS SINCE BEEN OVERTURNED.

Current Status: Final

Resolution: Order

Resolution Date: 04/03/2002

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: DENIAL



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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	ALLEGED MISREPRESENTATION, INVESTMENTS INCONSISTENT WITH STATED INVESTMENT OBJECTIVES, OMISSION OF FACTS. ALLEGED DAMAGES OVER \$5,000. (SEPT. 2007)
Product Type:	Other: ARS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGED DAMAGES OVER \$5,000.
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:	05/12/2008
Complaint Pending?	No
Status:	Settled
Status Date:	08/15/2008
Settlement Amount:	\$250,000.00
Individual Contribution Amount:	\$0.00

Broker Statement	THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHETHER THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENT TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.
-------------------------	---



Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: ALLEGED FAILURE TO FOLLOW INSTRUCTIONS. ALLEGED DAMAGES WERE BELIEVED TO EXCEED \$7500. (OCTOBER, 2006) *****| FOLLOWED THE CLIENT'S INSTRUCTIONS AND DENY ALL ALLEGATIONS.*****

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/05/2006

Complaint Pending? No

Status: Settled

Status Date: 02/05/2007

Settlement Amount: \$1,705.97

Individual Contribution Amount: \$0.00



End of Report

This page is intentionally left blank.