



IAPD Report

DAVID BRYAN AUSTIN

CRD# 4729693

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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

DAVID BRYAN AUSTIN (CRD# 4729693)

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 **01/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 11025	02/21/2019
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	02/21/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SPOKANE, WA	10/23/2009 - 02/25/2019
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SPOKANE, WA	10/23/2009 - 02/25/2019
B	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	SPOKANE, WA	12/12/2005 - 10/23/2009

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	4



Report Summary



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 **28** 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	02/21/2019
B FINRA	General Securities Principal	Approved	08/27/2019
B Alaska	Agent	Approved	11/25/2025
B Arizona	Agent	Approved	02/21/2019
B Arkansas	Agent	Approved	12/01/2025
B California	Agent	Approved	02/21/2019
B Colorado	Agent	Approved	07/06/2020
B Florida	Agent	Approved	10/13/2021
B Hawaii	Agent	Approved	07/25/2025
B Idaho	Agent	Approved	02/21/2019
B Illinois	Agent	Approved	03/14/2019
B Kansas	Agent	Approved	11/25/2025
B Maryland	Agent	Approved	07/06/2020



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	07/06/2020
B Minnesota	Agent	Approved	07/07/2020
B Missouri	Agent	Approved	11/25/2025
B Montana	Agent	Approved	07/13/2020
B Nevada	Agent	Approved	02/21/2019
B New Jersey	Agent	Approved	07/06/2020
B New York	Agent	Approved	02/21/2019
B Oklahoma	Agent	Approved	08/07/2024
B Oregon	Agent	Approved	02/21/2019
B Rhode Island	Agent	Approved	07/14/2020
B South Carolina	Agent	Approved	02/28/2019
B Tennessee	Agent	Approved	05/31/2023
B Texas	Agent	Approved	02/21/2019
IA Texas	Investment Adviser Representative	Restricted Approval	02/21/2019
B Utah	Agent	Approved	11/25/2025
B Virgin Islands	Agent	Approved	07/14/2020
B Virginia	Agent	Approved	02/21/2019
B Washington	Agent	Approved	02/22/2019



Qualifications

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	02/22/2019

Branch Office Locations

WELLS FARGO ADVISORS

202 E SPOKANE FALLS BLVD STE 403
[SATELLITE]
SPOKANE, WA 99202



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
General Securities Principal Examination (S24)	Series 24	08/27/2019

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/07/2004

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	01/28/2004

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	10/23/2009 - 02/25/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SPOKANE, WA
IA	10/23/2009 - 02/25/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SPOKANE, WA
B	12/12/2005 - 10/23/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	SPOKANE, WA
IA	12/12/2005 - 10/23/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	SPOKANE, WA
IA	03/18/2004 - 12/13/2005	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	SPOKANE, WA
B	03/17/2004 - 12/13/2005	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
02/2019 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	SPOKANE, WA, United States
06/2011 - 02/2019	BANK OF AMERICA, N.A.	SENIOR FINANCIAL ADVISOR	Y	SPOKANE, WA, United States
10/2009 - 02/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SENIOR FINANCIAL ADVISOR	Y	SPOKANE, WA, 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.

AUSTIN FARMS LLC, INV RELATED, SPOKANE, WA, 25% OWNERSHIP, START 1/1/2013, 1 HOUR PER MONTH, ZERO HOURS DURING TRADING, INHERITED FATHER'S WHEAT FARM.

AUSTIN WEALTH MANAGEMENT; INV RELATED; SPOKANE, WA; OWNER; FOR FINET PRACTICE; START: 2/2019; 50 HRS/MO; 6.5 DURING TRADING.

COPPER RIDGE CONDO ASSOCIATION, INVT RELATED, SANDPOINT, ID, TREASURER, START DATE 1/1/2020, 1 HR PER MONTH, 0 HRS DURING TRADING, DELIVERING FINANCIAL STATEMENT FROM ACCOUNTING FIRM AT ANNUAL MEETING.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

RIVER CITY CAPITAL LLC; INV. RELATED; MISSOULA, MT; 33.33% OWNERSHIP; HOLDING COMPANY TO AFFILIATE SUB BRANDED BUSINESS WITH WELLS FARGO ADVISORS; START DATE 3/1/2024; 8 HRS PER MONTH; 0 HRS DURING TRADING; DUTIES: CO-OWNER, STRATEGY GUIDANCE AND BUSINESS DEVELOPMENT.

PEABODY ON SHERMAN LLC; INV. RELATED; SPOKANE, WA; 15% OWNERSHIP; LLC HOLDS COMMERCIAL REAL ESTATE; START DATE 4/28/2021; 1 HOUR PER MONTH; 0 HOURS DURING TRADING.

AUSTIN LEGACY PARTNERS LLC ; INV RELATED; SPOKANE, WA; MERCHANT TIER 1 AGREEMENT;80% OWNERSHIP; START DATE: 10/10/2025; 1 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
Criminal	1
Customer Dispute	4

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

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: BORO MUNICIPAL COURT, MERCER COUNTY, PRINCETON, NJ
CASE NO. NJ011041J

Charge Date: 11/10/1991

Charge Details:
1. ONE COUNT - SHOPLIFTING
2. MISDEMEANOR
3. NOT GUILTY
4. N/A

Felony? No

Current Status: Final

Status Date: 12/17/1992

Disposition Details: A. DISMISSED B. 12/07/1992 C. N/A D. N/A
E. N/A F. N/A G. N/A

Broker Statement THIS INCIDENT OCCURRING IN 1991 WHILE VISITING A COLLEGE AS A HIGH SCHOOLER. IT WAS A MISDEMEANOR CHARGE FOR EATING A SLIM JIM WHILE WAITING IN LINE AT A WAWA(LIKE A 7-ELEVEN). THE CHARGES WERE DISMISSED.



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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors Financial Network, LLC
Allegations:	Client's authorized representative alleged an unauthorized sale of stock resulted in a lower execution than what was received when additional shares of the same stock were sold at a different firm. (5/3/2019)
Product Type:	Equity-OTC
Alleged Damages:	\$10,000.00
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:	05/17/2019
Complaint Pending?	No
Status:	Settled
Status Date:	05/20/2019
Settlement Amount:	\$2,496.81
Individual Contribution Amount:	\$0.00
Broker Statement	I did not place, or direct anyone to place, any trades in the client's account. As a gesture of goodwill, commission on the transaction was refunded to the client.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	THE CUSTOMER ALLEGES THAT THE FINANCIAL ADVISOR, WHO IS THE DECEDENT'S SON, MISAPPROPRIATED MONEY AND INVESTMENTS FROM THE DECEDENT'S ACCOUNTS.
Product Type:	No Product
Alleged Damages:	\$0.00



Alleged Damages Amount DAMAGES ARE NOT SPECIFIED.
Explanation (if amount not exact):

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: 06/15/2013

Complaint Pending? No

Status: Denied

Status Date: 09/16/2013

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE CUSTOMER'S LETTERS TESTAMENTARY WERE REVOKED ON JULY 2, 2013, AND SHE WAS REMOVED AS PERSONAL REPRESENTATIVE OF THE DECEDENT'S ESTATE BY THE SUPERIOR COURT, STATE OF WASHINGTON, COUNTY OF SPOKANE. THE FIRM'S INVESTIGATION FOUND NO WRONGDOING BY THE FINANCIAL ADVISOR AND ALL CLAIMS HAVE BEEN DENIED.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, INC.

Allegations: CLIENT CLAIMS THE RECOMMENDATION OF A UNIT INVESTMENT TRUST AND EQUITIES PURCHASED IN JANUARY AND FEBRUARY 2007 WAS MISREPRESENTED. FURTHER STATES THE INVESTMENTS ARE NOT IN LINE WITH HIS RISK TOLERANCE. COMPENSATORY DAMAGES SPECIFIED AS \$8657.

Product Type: Unit Investment Trust(s)

Other Product Type(s): EQUITY-LISTED

Alleged Damages: \$8,657.00

Customer Complaint Information

Date Complaint Received: 07/23/2007

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/31/2007

Settlement Amount:

Individual Contribution Amount:

**Disclosure 4 of 4**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CLIENT ALLEGES THAT FINANCIAL ADVISOR MADE UNSUITABLE INVESTMENT RECOMMENDATIONS.

Product Type: Other

Other Product Type(s): EXCHANGE TRADED FUNDS

Alleged Damages: \$16,000.00

Customer Complaint Information

Date Complaint Received: 05/18/2006

Complaint Pending? No

Status: Settled

Status Date: 09/29/2006

Settlement Amount: \$1,277.36

Individual Contribution Amount: \$0.00

Firm Statement 3RD QUARTER MLUA FEES IN THE AMOUNT OF \$1277.36 WERE REVERSED.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CLIENT ALLEGES THAT FINANCIAL ADVISOR MADE UNSUITABLE INVESTMENT RECOMMENDATIONS.

Product Type: Other

Other Product Type(s): EXCHANGE TRADED FUNDS

Alleged Damages: \$16,000.00

Customer Complaint Information

Date Complaint Received: 05/18/2006

Complaint Pending? No

Status: Settled

Status Date: 09/29/2006

Settlement Amount: \$1,277.36

Individual Contribution Amount: \$0.00

Broker Statement 3RD QUARTER MLUA FEES IN THE AMOUNT OF \$1277.36 WERE REVERSED.



End of Report

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