



## IAPD Report

# MATTHEW WELLS

CRD# 4775926

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8
Disclosure Information	9

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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

### MATTHEW WELLS (CRD# 4775926)

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 **08/28/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	07/22/2022
<b>IA</b>	STRATEGIC ADVISERS LLC	CRD# 104555	03/31/2025

### QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **52** 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>IA</b>	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	LEES SUMMIT, MO	10/19/2022 - 03/31/2025
<b>B</b>	PLANMEMBER SECURITIES CORPORATION	11869	Kansas City, MO	08/24/2021 - 05/25/2022
<b>IA</b>	PLANMEMBER SECURITIES CORPORATION	11869	Kansas City, MO	08/24/2021 - 05/25/2022

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



## 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 **52** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **STRATEGIC ADVISERS LLC**  
Main Address: 155 SEAPORT BLVD  
BOSTON, MA 02210-2698  
Firm ID#: 104555

Regulator	Registration	Status	Date
IA Missouri	Investment Adviser Representative	Approved	03/31/2025
IA Texas	Investment Adviser Representative	Restricted Approval	03/31/2025

#### Branch Office Locations

**STRATEGIC ADVISERS LLC**  
LEES SUMMIT, MO

#### Employment 2 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**  
Main Address: 900 SALEM STREET  
SMITHFIELD, RI 02917  
Firm ID#: 7784

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	07/25/2022
B FINRA	Invest. Co and Variable Contracts	Approved	07/25/2022
B New York Stock Exchange	General Securities Representative	Approved	07/22/2022
B Alabama	Agent	Approved	10/17/2022
B Alaska	Agent	Approved	12/19/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Arizona	Agent	Approved	10/20/2022
<b>B</b> Arkansas	Agent	Approved	10/18/2022
<b>B</b> California	Agent	Approved	07/26/2022
<b>B</b> Colorado	Agent	Approved	01/06/2023
<b>B</b> Connecticut	Agent	Approved	07/25/2022
<b>B</b> Delaware	Agent	Approved	04/05/2023
<b>B</b> District of Columbia	Agent	Approved	10/19/2022
<b>B</b> Florida	Agent	Approved	07/26/2022
<b>B</b> Georgia	Agent	Approved	07/27/2022
<b>B</b> Hawaii	Agent	Approved	10/14/2022
<b>B</b> Idaho	Agent	Approved	07/25/2022
<b>B</b> Illinois	Agent	Approved	12/13/2022
<b>B</b> Indiana	Agent	Approved	10/13/2022
<b>B</b> Iowa	Agent	Approved	07/25/2022
<b>B</b> Kansas	Agent	Approved	07/25/2022
<b>B</b> Kentucky	Agent	Approved	10/14/2022
<b>B</b> Louisiana	Agent	Approved	10/18/2022
<b>B</b> Maine	Agent	Approved	07/25/2022
<b>B</b> Maryland	Agent	Approved	07/26/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Massachusetts	Agent	Approved	10/18/2022
<b>B</b> Michigan	Agent	Approved	07/27/2022
<b>B</b> Minnesota	Agent	Approved	10/13/2022
<b>B</b> Mississippi	Agent	Approved	10/19/2022
<b>B</b> Missouri	Agent	Approved	10/12/2022
<b>B</b> Montana	Agent	Approved	07/27/2022
<b>B</b> Nebraska	Agent	Approved	08/01/2022
<b>B</b> Nevada	Agent	Approved	10/25/2022
<b>B</b> New Hampshire	Agent	Approved	08/03/2022
<b>B</b> New Jersey	Agent	Approved	07/25/2022
<b>B</b> New Mexico	Agent	Approved	10/12/2022
<b>B</b> New York	Agent	Approved	11/23/2022
<b>B</b> North Carolina	Agent	Approved	07/26/2022
<b>B</b> North Dakota	Agent	Approved	12/22/2022
<b>B</b> Ohio	Agent	Approved	07/25/2022
<b>B</b> Oklahoma	Agent	Approved	10/18/2022
<b>B</b> Oregon	Agent	Approved	07/26/2022
<b>B</b> Pennsylvania	Agent	Approved	07/26/2022
<b>B</b> Puerto Rico	Agent	Approved	08/05/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Rhode Island	Agent	Approved	10/14/2022
<b>B</b> South Carolina	Agent	Approved	10/18/2022
<b>B</b> South Dakota	Agent	Approved	10/19/2022
<b>B</b> Tennessee	Agent	Approved	10/13/2022
<b>B</b> Texas	Agent	Approved	07/25/2022
<b>B</b> Utah	Agent	Approved	07/26/2022
<b>B</b> Vermont	Agent	Approved	10/13/2022
<b>B</b> Virginia	Agent	Approved	10/13/2022
<b>B</b> Washington	Agent	Approved	11/08/2022
<b>B</b> West Virginia	Agent	Approved	10/17/2022
<b>B</b> Wisconsin	Agent	Approved	07/26/2022
<b>B</b> Wyoming	Agent	Approved	01/20/2023

### Branch Office Locations

**FIDELITY BROKERAGE SERVICES, LLC**  
LEES SUMMIT, MO



## 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, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	10/08/2012
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/12/2011

#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	04/03/2015
Uniform Securities Agent State Law Examination (S63)	Series 63	05/20/2011

### 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
IA	10/19/2022 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	LEES SUMMIT, MO
B	08/24/2021 - 05/25/2022	PLANMEMBER SECURITIES CORPORATION	CRD# 11869	Kansas City, MO
IA	08/24/2021 - 05/25/2022	PLANMEMBER SECURITIES CORPORATION	CRD# 11869	Kansas City, MO
B	11/23/2020 - 01/27/2021	WADDELL & REED	CRD# 866	OVERLAND PARK, KS
IA	11/23/2020 - 01/27/2021	WADDELL & REED	CRD# 866	OVERLAND PARK, KS
IA	05/22/2018 - 04/11/2019	BMO HARRIS FINANCIAL ADVISORS, INC	CRD# 137115	LEAWOOD, KS
B	05/17/2018 - 04/11/2019	BMO HARRIS FINANCIAL ADVISORS, INC.	CRD# 137115	LEAWOOD, KS
B	01/16/2018 - 05/18/2018	GWFS EQUITIES, INC.	CRD# 13109	OVERLAND PARK, KS
IA	01/24/2017 - 05/05/2017	SCOTTRADE INVESTMENT MANAGEMENT	CRD# 169988	SAINT LOUIS, MO
B	08/17/2015 - 05/05/2017	SCOTTRADE, INC.	CRD# 8206	KANSAS CITY, MO
IA	04/06/2015 - 07/29/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	INDEPENDENCE, MO
B	03/13/2015 - 07/29/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	INDEPENDENCE, MO
B	06/03/2014 - 03/06/2015	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	BLUE SPRINGS, MO
B	05/16/2011 - 03/04/2013	J.P. MORGAN INSTITUTIONAL INVESTMENTS INC.	CRD# 102920	OVERLAND PARK, KS
B	07/16/2004 - 12/01/2004	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY



## 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
03/2025 - Present	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
05/2022 - Present	FIDELITY INVESTMENTS	CENTRAL RELATIONSHIP MANAGER	Y	KANSAS CITY, MO, United States
08/2021 - 05/2022	Fidelity Security Life Insurance Co.	Agent	Y	Kansas City, MO, United States
08/2021 - 05/2022	Forrest T. Jones & Company Inc dba FTJ Retirement Advisors	Representative	Y	Kansas City, MO, United States
08/2021 - 05/2022	PlanMember Securities Corporation	Registered Representative	Y	Carpinteria, CA, United States
02/2021 - 07/2021	Lockton Companies	Insurance Agent	Y	Kansas City, MO, United States
10/2020 - 01/2021	Waddell & Reed, Inc	Associated Person	Y	Shawnee Mission, KS, United States
09/2020 - 10/2020	Unemployed	Unemployed	N	Lees Summit, MO, United States
03/2020 - 09/2020	State Farm	Insurance Agent	N	Lees Summit, MO, United States
03/2019 - 03/2020	Mylo - A Lockton Company	Commercial Insurance Agent	N	Kansas City, MO, United States
05/2018 - 04/2019	BMO Harris Financial Advisors, Inc	Investment Associate	Y	Leawood, KS, United States
01/2018 - 05/2018	GWFS Equities	Retirement Representative	Y	Overland Park, KS, United States
08/2017 - 01/2018	Select Quote	Senior Medicare Sales Representative	N	Overland Park, KS, United States
05/2017 - 08/2017	Unemployed	Unemployed	N	Lees Summit, MO, United States
08/2015 - 05/2017	Scottrade	Investment Consultant	Y	Kansas City, 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.

No information reported.



## 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
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Criminal	1
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### 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

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	LEAWOOD MUNICIPAL COURT, 9617 LEE BLVD., LEAWOOD, KANSAS 66206; CASE NO. 96 - 1881
<b>Charge Date:</b>	02/26/1996
<b>Charge Details:</b>	CHARGE: MISDEMEANOR THEFT; CHARGE DESCRIPTION: MISDEMEANOR THEFT OF A CARTON OF CIGARETTES VALUED AT \$16.00; 1. NUMBER OF COUNTS: 1; 2. MISDEMEANOR; 3. PLEA FOR CHARGE: NO CONTEST/GUILTY; 4. NOT INVESTMENT-RELATED
<b>Felony?</b>	No
<b>Current Status:</b>	Final
<b>Status Date:</b>	03/21/1996
<b>Disposition Details:</b>	A. CONVICTED; B. 03/21/1996; C. DIVERSION; D. 12 MONTH DIVERSION; E. 03/21/1996; F. \$250.00; G. 03/21/1996; ACCORDING TO COURT DOCUMENTS THE CHARGE WAS CLASSIFIED AS A CITY ORDINANCE OFFENSE, WHICH IS NOT REPORTABLE ON THE FORM U4.
<b>Broker Statement</b>	THE ABOVE DESCRIBED CHARGE IS A MISDEMEANOR CHARGE OF THEFT IN THE AMOUNT OF \$16.00 (I.E.-A CARTON OF CIGARETTES). DUE TO THE FACT THAT MY CRIMINAL RECORD HAS BEEN SPOTLESS PRIOR TO, AND SINCE THIS CHARGE, I WAS PLACED ON DIVERSION FOR A PERIOD OF 12 MONTHS BEGINNING AT TIME OF CONVICTION. DUE TO THE FACT THAT NO OTHER CHARGES HAVE EVER BEEN BROUGHT AGAINST ME SINCE THE TIME OF THIS CHARGE, MY DIVERSION WAS DEEMED COMPLETED AND THE CASE CLOSED PER LEAWOOD MUNICIPAL COURT. THIS INCIDENT IS NOT REPORTABLE ON THE U4 AS IT IS CLASSIFIED AS A CITY ORDINANCE OFFENSE, WHICH IS NOT REPORTABLE ON FORM U4. DRP CREATED IN ERROR, INCIDENT IS NOT REPORTABLE.



## End of Report

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