



IAPD Report

SEAN MURPHY

CRD# 5006183

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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

SEAN MURPHY (CRD# 5006183)

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 **04/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	12/11/2025
IA	WELLS FARGO ADVISORS	CRD# 19616	01/05/2026
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	04/07/2026

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **7** 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	FORESIDE FUND SERVICES, LLC	46106	PORTLAND, ME	02/04/2025 - 10/15/2025
B	NATIXIS DISTRIBUTION, LLC	34754	BOSTON, MA	10/01/2014 - 12/10/2024

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
Termination	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 7 jurisdiction(s) and 11 SRO(s) through his or her employer(s).

Employment 1 of 2

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	04/07/2026
B FINRA	Invest. Co and Variable Contracts	Approved	04/07/2026
B Pennsylvania	Agent	Approved	04/08/2026

Branch Office Locations

WELLS FARGO ADVISORS
125 HIGH ST
BOSTON, MA 02110

Employment 2 of 2

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 BZX Exchange, Inc.	General Securities Representative	Approved	12/11/2025
B Cboe Exchange, Inc.	General Securities Representative	Approved	12/11/2025
B FINRA	General Securities Representative	Approved	12/11/2025
B FINRA	Invest. Co and Variable Contracts	Approved	12/11/2025



Qualifications

Regulator	Registration	Status	Date
B NYSE American LLC	General Securities Representative	Approved	12/11/2025
B NYSE Arca, Inc.	General Securities Representative	Approved	12/11/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	12/11/2025
B Nasdaq GEMX, LLC	General Securities Representative	Approved	12/11/2025
B Nasdaq ISE, LLC	General Securities Representative	Approved	12/11/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	12/11/2025
B Nasdaq Stock Market	General Securities Representative	Approved	12/11/2025
B New York Stock Exchange	General Securities Representative	Approved	12/11/2025
B Maine	Agent	Approved	01/30/2026
B Massachusetts	Agent	Approved	12/12/2025
IA New Hampshire	Investment Adviser Representative	Approved	01/05/2026
B New Hampshire	Agent	Approved	02/03/2026
B New York	Agent	Approved	02/03/2026
B Pennsylvania	Agent	Approved	01/30/2026
B Rhode Island	Agent	Approved	02/02/2026
B Vermont	Agent	Approved	01/30/2026

Branch Office Locations

WELLS FARGO ADVISORS

125 HIGH ST
STE 1359A
BOSTON, MA 02110



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, 5 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 NFA Branch Manager Examination (S30)	Series 30	08/05/2011

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/10/2015
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/22/2014
 Retail Off-Exchange FOREX Examination (S34)	Series 34	06/30/2010
 National Commodity Futures Examination (S3)	Series 3	10/02/2008

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/02/2026
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/24/2014

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	02/04/2025 - 10/15/2025	FORESIDE FUND SERVICES, LLC	CRD# 46106	PORTLAND, ME
B	10/01/2014 - 12/10/2024	NATIXIS DISTRIBUTION, LLC	CRD# 34754	BOSTON, MA

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
12/2025 - Present	WELLS FARGO CLEARING SERVICES	REGISTERED REP	Y	BOSTON, MA, United States
02/2025 - 09/2025	Foreside Fund Services, LLC	Registered Representative	Y	Dorchester, MA, United States
12/2024 - 09/2025	Alternative Fund Advisors, LLC	Principal, Advisor Relations	Y	Dorchester, MA, United States
09/2014 - 11/2024	NATIXIS GLOBAL ASSET MANAGEMENT	INVESTMENT CONSULTANT	Y	BOSTON, MA, 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
Criminal	1
Termination	1

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:	State Court
Name of Court:	PLYMOUTH COURT
Location of Court:	PLYMOUTH, MA
Docket/Case #:	0159CR002725
Charge Date:	08/16/2001
Charge(s) 1 of 2	
Formal Charge(s)/Description:	B&E NIGHTTIME FOR FELONY
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	REDUCED.
Disposition of charge:	Reduced
Date of Amended Charge:	10/11/2001
Charge was Amended or reduced to:	B&E NIGHTTIME FOR MISDEMEANOR
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	CONTINUED WITHOUT A FINDING
Disposition of Amended Charge:	Dismissed



Charge(s) 2 of 2

Formal Charge(s)/Description:	LARCENY FROM BUILDING
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	SEE BELOW
Disposition of charge:	Reduced
Date of Amended Charge:	10/11/2001
Charge was Amended or reduced to:	WANTON DESTRUCTION OF PROPERTY
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	CONTINUED WITHOUT A FINDING
Disposition of Amended Charge:	Dismissed
Current Status:	Final
Status Date:	10/11/2002
Disposition Date:	10/11/2002
Sentence/Penalty:	THE CASE WAS CONTINUED WITHOUT A FINDING AND THEN DISMISSED AFTER 1 YEAR. A GLASS DOOR WAS BROKEN SO I WAS ORDERED TO PAY FOR THAT (ROUGHLY \$200).



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: PRUCO SECURITIES, LLC
Termination Type: Discharged
Termination Date: 08/08/2005
Allegations: REGISTERED REPRESENTATIVE DID NOT DISCLOSE PRIOR FELONY CHARGE ON HIS FORM U4. ALLEGATION CONFIRMED.
Product Type: Other
Other Product Types: N/A

Reporting Source: Individual
Firm Name: PRUCO SECURITIES, LLC
Termination Type: Discharged
Termination Date: 08/08/2005
Allegations: DISCHARGED FOR FAILING TO REPORT A FELONY CHARGE.
Product Type: Other: NO PRODUCT.

Broker Statement
I BROUGHT IN THE COURT DOCUMENTS REGARDING THE INCIDENT IN QUESTION. IT WAS DETERMINED, BY MYSELF AND AN EMPLOYEE AT PRUCO SECURITIES, THAT I DID NOT APPEAR TO HAVE BEEN CHARGED WITH A FELONY BECAUSE THE CHARGES ON THE COURT DOCUMENTS WERE REDUCED TO A MISDEMEANOR. IT TURNS OUT WE WERE WRONG SO I WAS DISCHARGED.



End of Report

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