



IAPD Report

Maitram H. Merkt

CRD# 5009451

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

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

Maitram H. Merkt (CRD# 5009451)

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 **03/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ALLSPRING FUNDS DISTRIBUTOR, LLC	CRD# 133366	07/08/2010
IA	ALLSPRING FUNDS MANAGEMENT, LLC	CRD# 110841	12/27/2016

QUALIFICATIONS

This representative is currently registered in **1** 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
IA	WELLS FARGO FUNDS MANAGEMENT, LLC	110841	SAN FRANCISCO, CA	07/09/2010 - 12/31/2014
IA	WELLS FARGO INVESTMENTS, LLC	10582	SAN JOSE, CA	03/30/2006 - 06/22/2010
B	WELLS FARGO INVESTMENTS, LLC	10582	SAN JOSE, CA	10/06/2005 - 06/22/2010

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 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ALLSPRING FUNDS MANAGEMENT, LLC**
Main Address: 1415 VANTAGE PARK DRIVE
3RD FLOOR
CHARLOTTE, NC 28203
Firm ID#: 110841

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	12/27/2016

Branch Office Locations

ALLSPRING FUNDS MANAGEMENT, LLC
Los Angeles, CA

Employment 2 of 2

Firm Name: **ALLSPRING FUNDS DISTRIBUTOR, LLC**
Main Address: 1415 VANTAGE PARK DRIVE
CHARLOTTE, NC 28203
Firm ID#: 133366

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/08/2010
B	FINRA	General Securities Principal	Approved	03/27/2015
B	Alabama	Agent	Approved	07/08/2010
B	Alaska	Agent	Approved	07/09/2010
B	Arizona	Agent	Approved	07/29/2010
B	Arkansas	Agent	Approved	07/20/2010



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	07/08/2010
B Colorado	Agent	Approved	07/09/2010
B Connecticut	Agent	Approved	07/15/2010
B Delaware	Agent	Approved	07/23/2010
B District of Columbia	Agent	Approved	07/20/2010
B Florida	Agent	Approved	07/26/2010
B Georgia	Agent	Approved	07/14/2010
B Hawaii	Agent	Approved	07/20/2010
B Idaho	Agent	Approved	07/08/2010
B Illinois	Agent	Approved	07/08/2010
B Indiana	Agent	Approved	07/13/2010
B Iowa	Agent	Approved	07/08/2010
B Kansas	Agent	Approved	07/08/2010
B Kentucky	Agent	Approved	07/09/2010
B Louisiana	Agent	Approved	07/20/2010
B Maine	Agent	Approved	07/09/2010
B Maryland	Agent	Approved	07/12/2010
B Massachusetts	Agent	Approved	07/12/2010
B Michigan	Agent	Approved	08/04/2010



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	07/09/2010
B Mississippi	Agent	Approved	07/14/2010
B Missouri	Agent	Approved	07/08/2010
B Montana	Agent	Approved	07/20/2010
B Nebraska	Agent	Approved	07/12/2010
B Nevada	Agent	Approved	07/08/2010
B New Hampshire	Agent	Approved	07/13/2010
B New Jersey	Agent	Approved	07/23/2010
B New Mexico	Agent	Approved	07/20/2010
B New York	Agent	Approved	07/20/2010
B North Carolina	Agent	Approved	07/09/2010
B North Dakota	Agent	Approved	07/08/2010
B Ohio	Agent	Approved	07/12/2010
B Oklahoma	Agent	Approved	07/20/2010
B Oregon	Agent	Approved	07/08/2010
B Pennsylvania	Agent	Approved	07/12/2010
B Puerto Rico	Agent	Approved	07/09/2010
B Rhode Island	Agent	Approved	07/09/2010
B South Carolina	Agent	Approved	07/09/2010



Qualifications

Regulator	Registration	Status	Date
B South Dakota	Agent	Approved	07/08/2010
B Tennessee	Agent	Approved	07/22/2010
B Texas	Agent	Approved	07/23/2010
B Utah	Agent	Approved	07/12/2010
B Vermont	Agent	Approved	07/08/2010
B Virginia	Agent	Approved	07/08/2010
B Washington	Agent	Approved	07/08/2010
B West Virginia	Agent	Approved	07/27/2010
B Wisconsin	Agent	Approved	07/08/2010
B Wyoming	Agent	Approved	07/08/2010

Branch Office Locations

Los Angeles, 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 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	03/27/2015

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	10/04/2005

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	03/29/2006

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	07/09/2010 - 12/31/2014	WELLS FARGO FUNDS MANAGEMENT, LLC	CRD# 110841	SAN FRANCISCO, CA
IA	03/30/2006 - 06/22/2010	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN JOSE, CA
B	10/06/2005 - 06/22/2010	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN JOSE, CA

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
11/2021 - Present	Allspring Funds Distributor, LLC	Registered Representative	Y	Los Angeles, CA, United States
06/2010 - Present	Allspring Global Investments	SALES ASSOCIATE	Y	SAN FRANCISCO, 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.

Date of OBA: 10/18/2024
 Title of OBA: Hollywood Schoolhouse
 Address of OBA: hshla.org
 Title/Duties: Parent Association Executive Board - Assist with community events give back to the Hollywood Schoolhouse and foster community by connecting families students faculty and staff.
 Investment Related: No
 Hours per quarter: 0-1
 During Trading hours: 0

MAI MERKT & MERKT FAMILY TRUST
 POSITION: Property Owner NATURE: The properties are under the Merkt Family Trust. The Trust does not have any business connection with Wells Fargo and is strictly a family trust. Rental income properties on:
 77 Adeline Ave, San Jose, 95136, CA
 5707 S 31st Drive, Phoenix, AZ.
 INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2010
 ADDRESS: 403 N Irving Blvd, Los Angeles CA 90004, United States
 DESCRIPTION: Accepting payments and coordinating with property manager on maintenance on the rental properties. The rental



Registration & Employment History



OTHER BUSINESS ACTIVITIES

income was received prior to joining WFAM.

8/13/2023-NEW OBA: 403 N. Irving Blvd, Los Angeles, CA 90004) into an LLC-Rental property

- 1.)Address of OBA: 403 N. Irving Blvd, Los Angeles, CA 90004 (Start of Rental-8/13/23)
- 2.)How is ownership held-both titled and office (Office held: Owner, president, etc. is it in a trust, LLC?) LLC
- 3.)Date of the establishment: TBD sometime in August
- 4.)Do you receive income from this activity? TBD on income.
- 5.)How many hours per month do you work at this activity? 1-3 hours
- 6.)Do you engage in this activity during trading hours? If so, how many per week? No
- 7.)Is there a conflict in engaging in this activity and your work at Allspring? No
- 8.)Additional comments: None



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

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
Court Details:	SUPERIOR COURT OF CALIFORNIA, DISTRICT OF SANTA CLARA; SANTA CLARA, CA; CASE #CC585031
Charge Date:	01/26/2005
Charge Details:	GIVING FALSE INFORMATION TO PEACE OFFICER (VC31): 1 COUNT; MISDEMEANOR; PLED GUILTY TO A DIFFERENT CHARGE; AMENDED COUNT 1 PC 415 INFRACTION.
Felony?	No
Current Status:	Final
Status Date:	06/30/2005
Disposition Details:	CHARGE (VC31) (MISDEMEANOR) AMENDED TO PC415(1) (INFRACTION)PLED GUILTY; 6/30/05; FINE \$187.50; PAID ON 07/15/2005.
Broker Statement	THERE A STICK SHIFT CAR PARKED IN FRONT OF MY DRIVE WAY AND NO ONE THAT COULD DRIVE IT WAS HOME. I NEEDED TO GO TO WORK SO THE DRIVER HAD TO REPAK THE CAR BUT DURING THAT PROCESS THE BRAKES OF THE CAR WANSNT PULL UP CORRECTLY SO IT LEAD HIM TO HIT ANOTHER CAR PARKED BEHIND HIM. I TOLD THE POLICE OFFICER I WAS THE DRIVER OF THE CAR SINCE THE DRIVER WASNT THERE.



End of Report

This page is intentionally left blank.