IAPD Report

STEVEN CHRISTOPHER BREZENSKI

CRD# 5140646

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

STEVEN CHRISTOPHER BREZENSKI (CRD# 5140646)

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 **08/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	10/19/2012
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	10/19/2012

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **13** 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	EDWARD JONES	250	SUFFOLK, VA	02/09/2007 - 10/24/2012
B	EDWARD JONES	250	SUFFOLK, VA	07/11/2006 - 10/24/2012

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	1
Customer Dispute	1
Financial	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 **13** jurisdiction(s) and 6 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#: 19616

	Regulator	Registration	Status	Date
B	Cboe Exchange, Inc.	General Securities Representative	Approved	12/01/2021
B	FINRA	General Securities Representative	Approved	10/19/2012
B	NYSE American LLC	General Securities Representative	Approved	10/19/2012
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/19/2012
B	Nasdaq Stock Market	General Securities Representative	Approved	10/19/2012
B	New York Stock Exchange	General Securities Representative	Approved	10/19/2012
B	Florida	Agent	Approved	11/21/2017
B	Georgia	Agent	Approved	01/22/2026
B	Nevada	Agent	Approved	08/10/2026
B	New Jersey	Agent	Approved	10/24/2019
B	New York	Agent	Approved	08/08/2023
B	North Carolina	Agent	Approved	10/19/2012
B	Pennsylvania	Agent	Approved	04/12/2017

Qualifications

	Regulator	Registration	Status	Date
B	Rhode Island	Agent	Approved	12/15/2025
B	South Carolina	Agent	Approved	04/16/2021
B	Tennessee	Agent	Approved	04/06/2026
B	Texas	Agent	Approved	01/12/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	01/11/2022
B	Virginia	Agent	Approved	10/19/2012
IA	Virginia	Investment Adviser Representative	Approved	10/19/2012
B	Wisconsin	Agent	Approved	08/15/2019

Branch Office Locations

WELLS FARGO ADVISORS
125 INDEPENDENCE BLVD
VIRGINIA BEACH, VA 23462

WELLS FARGO ADVISORS
6563 COLLEGE PARK SQ
VIRGINIA BEACH, VA 23464

WELLS FARGO ADVISORS
201 N MAIN ST
SUFFOLK, VA 23434

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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/10/2006

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/30/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/14/2006

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	02/09/2007 - 10/24/2012	EDWARD JONES	CRD# 250	SUFFOLK, VA
B	07/11/2006 - 10/24/2012	EDWARD JONES	CRD# 250	SUFFOLK, VA

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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	NORFOLK, VA, United States
10/2012 - 11/2016	WELLS FARGO ADVISORS, LLC	REGISTERED REP	Y	NORFOLK, VA, 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.

WARD BALKIN AGENCY, INV-RELATED, AMHERST, MA, INHERITED BOOK ROYALTIES, START: 2005, 0 HRS/MO, 0 DURING TRADING.
UBER; NOT INV RELATED; CHESAPEAKE, VA; DRIVER; START 3/18/2016; 40 HOURS PER MONTH, 0 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	1
Customer Dispute	1
Financial	1

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 1

Reporting Source:	Individual
Regulatory Action Initiated By:	COMMONWEALTH OF VIRGINIA STATE CORPORATION COMISSION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/20/2006
Docket/Case Number:	INS-2007-00063
Employing firm when activity occurred which led to the regulatory action:	FEDERATED MUTUAL INSURANCE
Product Type:	No Product
Other Product Type(s):	
Allegations:	THE STATE CORPORATION COMMISSION'S BUREAU OF INSURANCE ALLEGED BREZENSKI FAILED TO PROVIDE ACCURATE INFORMATION ON A LICENSING APPLICATION, DATED APRIL 27, 2004, IN THAT HE FAILED TO DISCLOSE A DUI IN 1987. BREZENSKI'S DISCLOSURE OF THIS EVENT ON HIS 2006 LICENSING APPLICATION INITIATED THIS COMMISSION'S INVESTIGATION.
Current Status:	Final
Resolution:	Settled
Resolution Date:	02/08/2007

Broker Statement	BREZENSKI MADE AN OFFER FOR THE SOLE PURPOSE OF SETTLEMENT WHICH DOES NOT CONSTITUTE, NOR SHOULD IT BE CONSTRUED AS, AN ADMISSION OF ANY VIOLATION OF LAW, WHEREIN HE TENDERED TO THE COMMONWEALTH THE SUM OF $500 AND WAIVED HIS RIGHT TO A HEARING.

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	05/17/2007-03/00/2009; THE CLIENT INDICATES SHE PURCHASED THE LINCOLN ANNUITY WITH THE INTENT OF EARNING AN INCOME STREAM. THE CLIENT STATES SHE WAS INFORMED SHE WOULD EARN INCOME BASED OFF THE AMOUNT INVESTED OR A MARKET INCREASE. SHE STATES SHE PURCHASED THE ANNUITY IN 2007. ACCORDING TO THE CLIENT WHEN SHE WENT TO TAKE INCOME FROM THE ANNUITY SHE WAS INFORMED BY HER NEW FIRM THE ANNUITY DID NOT HAVE AN INCOME RIDER AND SHE COULD NOT TAKE IT BASED OFF HER ORIGINAL AMOUNT INVESTED OF $90,000. SHE STATES SHE WENT TO THE FA TO REVIEW THE SITUATION. SHE STATES SHE WAS ORIGINALLY INFORMED BY THE FA HE THOUGHT IT COULD BE CORRECTED. SEVERAL DAYS LATER SHE WAS INFORMED IT WOULD NOT BE CORRECTED BECAUSE IT COSTS APPROXIMATELY $21000.
Product Type:	Annuity-Variable
Alleged Damages:	$5,000.00
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:	03/25/2009
Complaint Pending?	No
Status:	Settled
Status Date:	06/01/2009
Settlement Amount:	$16,997.37
Individual Contribution Amount:	$0.00
Broker Statement	WE ARE WILLING TO WORK WITH THE CLIENT TO HAVE THE I4LIFE ADDED TO THE LINCOLN SHAREHOLDERS ADVANTAGE THAT WAS PURCHASED ON MAY 17, 2007. IN ORDER TO ADD THE I4LIFE RIDER, THE CLIENT WILL NEED TO COMPLETE THE ENCLOSED ELECTION FORM. IN ADDITION, ENCLOSED IS A SETTLEMENT OF CLAIM FOR REVIEW. IF THE CLIENT AGREES, THE I4LIFE RIDER WILL BE ADDED AS OF 2007. ONCE CORRECTED, LINCOLN WILL BE SENDING INCOME FROM 2007, 2008 AND 2009. THE CLIENT WILL RECEIVE 1099S FOR 2007 AND 2008; SHE MAY

NEED TO AMEND YOUR 2007 TAXES. IF WE DO NOT RECEIVE THE EXECUTED SETTLEMENT OF CLAIM WITHIN 30 DAYS OF THIS LETTER, WE WILL ASSUME THE CLIENT DO NOT WISH TO ACCEPT OUR OFFER AND OUR OFFER SHOULD BE CONSIDERED WITHDRAWN. IF THE OFFER IS ACCEPTED, THE CLIENT WILL ALSO NEED TO COMPLETE THE ENCLOSED I4LIFE ELECTION FORM. THE CLIENT ACCEPTED THE OFFER AND THE CORRECTIONS ARE BEING COMPLETED.

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 13
Action Date:	01/17/2017
Organization Investment-Related?	
Type of Court:	Bankruptcy Court
Name of Court:	Eastern District of Virginia
Location of Court:	Norfolk, VA
Docket/Case #:	17-70154
Action Pending?	No
Disposition:	Discharged
Disposition Date:	06/28/2022

End of Report

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