



IAPD Report

BABAK SEYEDAIN

CRD# 5533220

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

BABAK SEYEDAIN (CRD# 5533220)

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 **01/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	12/05/2009
IA	WELLS FARGO ADVISORS	CRD# 19616	12/11/2009

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	UBS FINANCIAL SERVICES INC.	8174	HOUSTON, TX	09/26/2008 - 10/06/2009
B	UBS FINANCIAL SERVICES INC.	8174	HOUSTON, TX	07/10/2008 - 10/06/2009

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



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	11/19/2021
B FINRA	General Securities Representative	Approved	12/07/2009
B NYSE American LLC	General Securities Representative	Approved	07/29/2011
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/01/2011
B Nasdaq Stock Market	General Securities Representative	Approved	12/05/2009
B New York Stock Exchange	General Securities Representative	Approved	12/05/2009
B Alabama	Agent	Approved	09/27/2012
B Arizona	Agent	Approved	12/20/2018
B California	Agent	Approved	12/08/2009
B Colorado	Agent	Approved	12/09/2009
B Florida	Agent	Approved	01/06/2020
B Georgia	Agent	Approved	01/08/2026
B Indiana	Agent	Approved	04/14/2023



Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	06/06/2025
B	Louisiana	Agent	Approved	09/16/2020
B	New Jersey	Agent	Approved	03/12/2024
B	Oklahoma	Agent	Approved	05/04/2021
B	Tennessee	Agent	Approved	03/06/2014
B	Texas	Agent	Approved	12/11/2009
IA	Texas	Investment Adviser Representative	Approved	12/11/2009

Branch Office Locations

WELLS FARGO ADVISORS
5311 WESLAYAN ST
HOUSTON, TX 77005



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	07/09/2008
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	08/06/2008
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	09/26/2008 - 10/06/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	HOUSTON, TX
B	07/10/2008 - 10/06/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	HOUSTON, TX

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	HOUSTON, TX, United States
11/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	HOUSTON, TX, 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

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
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	
Formal Charges were brought in:	JUDICIAL DISTRICT COURT
Name of Court:	272ND JUDICIAL DISTRICT COURT
Location of Court:	BRAZOS COUNTY TEXAS
Docket/Case #:	18-673-272
Charge Date:	02/19/1989
Charge(s) 1 of 1	
Formal Charge(s)/Description:	CREDIT CARD ABUSE
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NO CONTEST (NOT GUILTY FIRST) 4) NOT INVESTMENT RELATED
Disposition of charge:	Deferred Adjudication
Current Status:	Final
Status Date:	03/03/1989



Disposition Date: 08/19/1989

Sentence/Penalty: DEFFERED ADJUDICATION - NO CONVICTION WITH SUCCESSFUL COMPLETION. D) SIX YEARS E)STARTED 8/1989, ENDED 8/1995. F)\$2500 FINE PAID BY 11/1992

Broker Statement

IN 1988 WHEN I WAS EIGHTEEN YEARS OLD (OVER 21 YEARS AGO) AT A NIGHT CLUB IN COLLEGE STATION, MY ROOMMATE THEN HANDED ME A CREDIT CARD - THAT DID NOT BELONG TO HIM - ASKING ME TO PAY FOR DRINKS. I WAS TOLD THE CARD BELONGED TO HIS RELATIVE (AUNT). THE NEXT DAY HE ASKED ME TO GO SHOPPING WITH HIM AND THAT I WOULD ALSO BE ABLE TO BUY CLOTHES AND COULD PAY HIM BACK AT A LATER TIME OR DEDUCT THE AMOUNT FROM HIS PORTION OF RENT THAT MONTH. SHORTLY AFTER CHECKING OUT - USING THE SAME CARD FOR OUR PURCHASES - WE WERE STOPPED BY MALL SECURITY AND TAKEN TO COLLEGE STATION POLICE DEPARTMENT FOR QUESTIONING. IT WAS ONLY THEN THAT I REALIZED THE CARD WAS STOLEN AND I WAS ENTANGLED WITH CHARGES MENTIONED ABOVE.

THERE IS NO EXPLAINING OR EXCUSE THAT CAN MAKE THIS OFFENSE LESS IMPORTANT AND I WILL NOT MAKE THAT ATTEMPT. I REALIZE THIS WAS A SEVERE FAILURE IN JUDGMENT ON MY PART. I WAS A YOUNG, IMMATURE STUDENT WHO ASSOCIATED WITH THE WRONG CROWD DURING MY SOPHOMORE YEAR AT TEXAS A&M UNIVERSITY. HAVING LOST MY FATHER SUDDENLY THE TWO YEARS EARLIER (1986) AT AGE 16, I AM CERTAIN IS WHAT STARTED THIS DOWNWARD SPIRAL AT THAT TIME. I WAS SENDING MONEY HOME TO SUPPORT MY WIDOWED MOTHER, PAYING FOR COLLEGE ALL ON MY OWN. AT THIS TIME I WAS LACKING DISCIPLINE AND GUIDANCE THAT I HAD RECEIVED FOR SO MANY YEARS FROM SUCH STRONG WONDERFUL PARENTS.

I PAID MY DUES AND FULFILLED THE SENTENCE GIVEN TO ME AND PAID A \$2500.00 FINE. THIS WAS SUCCESSFULLY COMPLETED BY NOVEMBER OF 1995. THE DEFERRED ADJUDICATION AND THE JUSTICE THAT WAS SERVED IN MY SENTENCE WERE IMPORTANT TO ME AND ALLOWED ME TO AGAIN FOCUS ON MY FUTURE. I STAYED OUT OF TROUBLE, CHANGED MY FRIENDS AND I WORKED TWO JOBS WHILE CONTINUING MY EDUCATION AT TEXAS A&M UNIVERSITY. I RECEIVED MY BACHELORS IN BUSINESS ADMINISTRATION DEGREE MAJORING IN FINANCE WHILE HAVING COMPLETED TWO INTERNSHIPS WITH MERRILL LYNCH AND NORTHWESTERN MUTUAL.

I CONTINUED TO SERVE THE REMAINING TERM OF MY PROBATION IN HARRIS COUNTY AFTER GRADUATING IN DECEMBER 1992, WITHOUT ANY FURTHER INCIDENTS. I AM ALSO PLEASED TO INFORM YOU AS MY RECORDS SHALL INDICATE THAT I HAVE NOT BEEN IN VIOLATION OF ANY LAWS ANY OTHER TIME SINCE THIS SENTENCE, NOT EVEN SO MUCH AS A MISDEMEANOR TRAFFIC OFFENSE. TODAY, I LIVE IN CYPRESS TEXAS (A SUBURB OF HOUSTON) WITH MY WIFE OF FOURTEEN YEARS AND TWO WONDERFUL SONS. I STILL CONTINUE TO SUPPORT MY MOTHER BOTH EMOTIONALLY AND FINANCIALLY.

THROUGHOUT MY PROFESSIONAL CAREER I HAVE SUCCESSFULLY ADVANCED WITH INCOMPARABLE INTEGRITY, STRONG WORK ETHICS AND STEADFAST DETERMINATION TO BE THE BEST IN MY FIELD. I AM AN ACTIVE MEMBER OF VARIOUS SOCIAL AND PROFESSIONAL ORGANIZATIONS. I AM INVOLVED IN MY COMMUNITY AS A LITTLE LEAGUE SOCCER COACH FOR THE YMCA WHERE I ALSO SERVE ON THE BOARD OF DIRECTORS. AS A BOARD MEMBER I ALSO WORK WITH JUDGE ADAMS



COURT IN CYPRESS SPONSORING PROGRAMS FOR TROUBLED TEENS AT RISK. I VOLUNTEER FOR JUNIOR ACHIEVEMENT HERE AT THE CY-FAIR INDEPENDENT SCHOOL DISTRICT FOR THE LAST FIVE YEARS. I HAVE A WONDERFUL POSITIVE LIFE AND LOOK BACK AT MY YEARS IN COLLEGE STATION AS A TIME OF GROWTH AND DEVELOPMENT.



End of Report

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