User Guidance

www.adviserinfo.sec.gov

IAPD Report

ALISIA RHODES

CRD# 6903498

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

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

ALISIA RHODES (CRD# 6903498)

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 **01/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	02/16/2023
IA	WELLS FARGO ADVISORS	CRD# 19616	02/17/2023

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **41** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	PITTSBURGH, PA	01/13/2020 - 01/06/2023
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	PITTSBURGH, PA	12/24/2019 - 01/06/2023
B	WELLS FARGO CLEARING SERVICES, LLC	19616	SHORT HILLS, NJ	04/03/2018 - 05/31/2018

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
Financial	5

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 **41** jurisdiction(s) and 1**0** 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 BZX Exchange, Inc.	General Securities Representative	Approved	02/16/2023
B	Cboe Exchange, Inc.	General Securities Representative	Approved	02/16/2023
B	FINRA	General Securities Representative	Approved	02/16/2023
B	NYSE American LLC	General Securities Representative	Approved	02/16/2023
B	NYSE Arca, Inc.	General Securities Representative	Approved	02/16/2023
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	02/16/2023
B	Nasdaq ISE, LLC	General Securities Representative	Approved	02/16/2023
B	Nasdaq PHLX LLC	General Securities Representative	Approved	02/16/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	02/16/2023
B	New York Stock Exchange	General Securities Representative	Approved	02/16/2023
B	Alabama	Agent	Approved	04/12/2023
B	Arizona	Agent	Approved	04/18/2023
B	Arkansas	Agent	Approved	04/24/2023

Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	04/12/2023
B	Colorado	Agent	Approved	04/12/2023
B	Connecticut	Agent	Approved	02/17/2023
B	Delaware	Agent	Approved	03/03/2023
B	District of Columbia	Agent	Approved	03/28/2023
B	Florida	Agent	Approved	02/27/2023
B	Georgia	Agent	Approved	04/13/2023
B	Illinois	Agent	Approved	04/12/2023
B	Indiana	Agent	Approved	04/12/2023
B	Iowa	Agent	Approved	04/13/2023
B	Kansas	Agent	Approved	04/12/2023
B	Kentucky	Agent	Approved	04/12/2023
B	Louisiana	Agent	Approved	04/17/2023
B	Maine	Agent	Approved	04/12/2023
B	Maryland	Agent	Approved	02/17/2023
B	Massachusetts	Agent	Approved	03/08/2023
B	Michigan	Agent	Approved	04/13/2023
B	Minnesota	Agent	Approved	04/13/2023
B	Missouri	Agent	Approved	04/12/2023

Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	04/17/2023
B	New Hampshire	Agent	Approved	02/23/2023
B	New Jersey	Agent	Approved	02/27/2023
IA	New York	Investment Adviser Representative	Approved	02/17/2023
B	New York	Agent	Approved	03/31/2023
B	North Carolina	Agent	Approved	04/18/2023
B	Ohio	Agent	Approved	02/17/2023
B	Oklahoma	Agent	Approved	04/12/2023
B	Oregon	Agent	Approved	06/14/2024
B	Pennsylvania	Agent	Approved	02/17/2023
B	Rhode Island	Agent	Approved	02/20/2023
B	South Carolina	Agent	Approved	06/13/2024
B	Tennessee	Agent	Approved	04/12/2023
B	Texas	Agent	Approved	02/17/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	02/22/2023
B	Utah	Agent	Approved	04/12/2023
B	Vermont	Agent	Approved	04/13/2023
B	Virginia	Agent	Approved	02/21/2023

Qualifications

	Regulator	Registration	Status	Date
B	Washington	Agent	Approved	04/12/2023
B	West Virginia	Agent	Approved	03/01/2023
B	Wisconsin	Agent	Approved	04/12/2023

Branch Office Locations

WELLS FARGO ADVISORS
280 PARK AVE 27TH & 29TH FLS
NEW YORK, NY 10017

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	05/31/2018
B	General Securities Representative Examination (S7)	Series 7	04/03/2018

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/27/2019

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	01/13/2020 - 01/06/2023	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PITTSBURGH, PA
B	12/24/2019 - 01/06/2023	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PITTSBURGH, PA
B	04/03/2018 - 05/31/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SHORT HILLS, NJ

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
01/2023 - Present	WELLS FARGO CLEARING SERVICES, LLC (	REGISTERED REP	Y	NEW YORK, NY, United States
01/2020 - 01/2023	BANK OF AMERICA, N.A.	Financial Advisor Trainee - FADP	Y	Florham Park, NJ, United States
11/2019 - 01/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Financial Advisor Trainee - FADP	Y	Florham Park, NJ, United States
01/2019 - 10/2019	Valley Bank	Universal Banker	N	Maplewood, NJ, United States
08/2006 - 05/2019	Morgan State University	Work study	N	Baltimore, MD, United States
11/2018 - 01/2019	Macys	Inventory Associate	N	Secaucus, NJ, United States
10/2018 - 11/2018	FedEx	Package Handler	N	Edison, NJ, United States
01/2018 - 05/2018	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SHORT HILLS, NJ, United States
10/2016 - 01/2018	Wells fargo Bank, N.A.	Personal Banker	N	Elmwood Park, NJ, United States
04/2017 - 09/2017	Wawa	Associate	N	Maplewood, NJ, United States
06/2015 - 10/2016	Wells Fargo Bank, N.A.	CSSR	N	South Riding, VA, United States

Registration & Employment History

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
Financial	5

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 5

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	09/13/2024
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	U.S. BANKRUPTCY COURT, NJ - NEWARK - MAIN/2
Location of Court:	NEWARK, NJ
Docket/Case #:	2419103
Action Pending?	No
Disposition:	Discharged
Disposition Date:	12/20/2024
Broker Statement	In August 2023, I rented one of my apartment units to tenants obtained by the realtor who assisting me in purchasing the property. The rent agreed on by the tenants was enough to cover the mortgage, maintenance cost and other expenses related to the property including property management fees. The tenants in this unit did not make any full payments during their 12-month lease. I was able to cover my rent ($3800/month) and my mortgage ($2600/month) until March 2024 when my savings had become depleted. My property manager filed for eviction of the tenants twice (Dec 2023 and Feb 2024). The judge ordered the tenants to pay and advised them of social service organizations that would help them pay the entire amount owed at the time (approx. $5k) but tenants failed to act. The process of the initial eviction attempt took several months due to

several rescheduling requests from the tenant and court. It wasn't until Feb of 2024 when were able to file the 2nd eviction notice due to non-payment, at which time the tenant owed approx. $10k. Again, the tenant prolonged the process by rescheduling and appealing the judge's order to pay or move out. By Feb 2024, I'd exhausted my savings and fallen behind with other creditors. During this time, I also experienced other unforeseen objections such as the passing of my mother and the separation from a 6-year domestic partner relationship. Both events came with large additional expenses such as funeral cost, breaking a 3-year lease 1/3 of the way through and securing a new place for my child and I to live. Although not legally married, my partner and I had many responsibilities we shared which I had to assume on my own following our separation - including a $7k fee for breaking lease.

Attempts were made on my behalf with all creditors during this financially strenuous time. Best efforts were made on my part to honor all agreements, including seeking assistance from family, until my only option for relief was bankruptcy.
Although I take these steps begrudgingly, I am clear on what lead to this situation and how to avoid reoccurrence. My home was an asset that I'd planned to live in but when my parents both became ill, I had to relocate hours away to help with their care. My intention was to move back into my home once my parents became healthier or to move them into my home once their doctors cleared them and comparable doctors were in place near my home which is why I chose to rent the property instead of selling it.

While this is a tough decision to make, I do look forward to the relief it will bring; the freedom to refocus and maximize the opportunities that remain in front of me. I contribute this bankruptcy filing to circumstances outside of my control, not financial neglect, or irresponsibility.

Disclosure 2 of 5

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	08/16/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	08/16/2019
If a compromise with creditor, provide:	
Name of Creditor:	Bank of Missouri
Original Amount Owed:	$535.00
Terms Reached with Creditor:	Creditor accepted $400.00 as settlement for the account.

Disclosure 3 of 5

Reporting Source:	Individual

Action Type:	Compromise
Action Date:	08/19/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	08/19/2019
If a compromise with creditor, provide:	
Name of Creditor:	EOS CCA / Verizon
Original Amount Owed:	$452.00
Terms Reached with Creditor:	Creditor accepted $300.00 as settlement for the account.

Disclosure 4 of 5

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	08/16/2019
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	08/16/2019
If a compromise with creditor, provide:	
Name of Creditor:	CBE Group / Dominion Energy Virginia
Original Amount Owed:	$202.11
Terms Reached with Creditor:	Creditor accepted $141.48 as settlement for the account.

Disclosure 5 of 5

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	12/15/2017
Organization Investment-Related?	No
Type of Court:	NONE
Name of Court:	

Location of Court:	
Docket/Case #:	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	12/15/2017
If a compromise with creditor, provide:	
Name of Creditor:	Credit One Bank
Original Amount Owed:	$632.00
Terms Reached with Creditor:	Agreement to pay amount $430 as opposed to $632 in exchange for positive reporting on credit report.
Amount Paid:	
SIPA (Securities Investor Protection Act)Trustee:	
Currently Open?	No
Date Direct Payment Initiated/Filed or Trustee Appointed:	
Broker Statement	Relocated to NJ from VA to help Mother with terminal disease. Although I was able to transfer my job, there were other expenses such (i.e. Child care, cost of living increase) that I were not apart of my budget previously. I also had to let go of a stream of income during the transition. There was an adjustment period during my relocation. I reached out to Credit One Bank to explain what caused my good history to turn bad and they were happy to compromise.

End of Report

This page is intentionally left blank.

