



## IAPD Report

# MINH VINH AU

CRD# 7160720

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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

### MINH VINH AU (CRD# 7160720)

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 **01/15/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	11/23/2021
<b>IA</b>	STRATEGIC ADVISERS LLC	CRD# 104555	03/31/2025

### QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **53** 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>IA</b>	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	MERRIMACK, NH	12/17/2021 - 03/31/2025
<b>IA</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	LANCASTER, PA	05/10/2021 - 11/19/2021
<b>B</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	LANCASTER, PA	10/31/2019 - 11/19/2021

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?

**No**



## 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 **53** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **STRATEGIC ADVISERS LLC**

Main Address: 155 SEAPORT BLVD  
BOSTON, MA 02210-2698

Firm ID#: 104555

	Regulator	Registration	Status	Date
<b>IA</b>	Pennsylvania	Investment Adviser Representative	Approved	03/31/2025
<b>IA</b>	Texas	Investment Adviser Representative	Approved	03/31/2025

#### Branch Office Locations

**STRATEGIC ADVISERS LLC**  
LANCASTER, PA

#### Employment 2 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**

Main Address: 900 SALEM STREET  
SMITHFIELD, RI 02917

Firm ID#: 7784

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	11/23/2021
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	11/23/2021
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	06/14/2023
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	11/23/2021
<b>B</b>	New York Stock Exchange	General Securities Sales Supervisor	Approved	06/14/2023
<b>B</b>	Alabama	Agent	Approved	11/23/2021



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Alaska	Agent	Approved	11/23/2021
<b>B</b> Arizona	Agent	Approved	11/23/2021
<b>B</b> Arkansas	Agent	Approved	11/23/2021
<b>B</b> California	Agent	Approved	11/23/2021
<b>B</b> Colorado	Agent	Approved	11/23/2021
<b>B</b> Connecticut	Agent	Approved	11/23/2021
<b>B</b> Delaware	Agent	Approved	11/23/2021
<b>B</b> District of Columbia	Agent	Approved	11/23/2021
<b>B</b> Florida	Agent	Approved	11/23/2021
<b>B</b> Georgia	Agent	Approved	11/23/2021
<b>B</b> Hawaii	Agent	Approved	11/23/2021
<b>B</b> Idaho	Agent	Approved	11/23/2021
<b>B</b> Illinois	Agent	Approved	11/23/2021
<b>B</b> Indiana	Agent	Approved	11/23/2021
<b>B</b> Iowa	Agent	Approved	11/23/2021
<b>B</b> Kansas	Agent	Approved	11/23/2021
<b>B</b> Kentucky	Agent	Approved	11/23/2021
<b>B</b> Louisiana	Agent	Approved	11/23/2021



## Qualifications

	Regulator	Registration	Status	Date
B	Maine	Agent	Approved	11/23/2021
B	Maryland	Agent	Approved	11/23/2021
B	Massachusetts	Agent	Approved	11/23/2021
B	Michigan	Agent	Approved	11/23/2021
B	Minnesota	Agent	Approved	11/23/2021
B	Mississippi	Agent	Approved	11/23/2021
B	Missouri	Agent	Approved	11/23/2021
B	Montana	Agent	Approved	11/23/2021
B	Nebraska	Agent	Approved	11/23/2021
B	Nevada	Agent	Approved	11/23/2021
B	New Hampshire	Agent	Approved	11/23/2021
B	New Jersey	Agent	Approved	11/23/2021
B	New Mexico	Agent	Approved	11/23/2021
B	New York	Agent	Approved	11/23/2021
B	North Carolina	Agent	Approved	11/23/2021
B	North Dakota	Agent	Approved	11/23/2021
B	Ohio	Agent	Approved	11/23/2021
B	Oklahoma	Agent	Approved	11/23/2021
B	Oregon	Agent	Approved	11/23/2021



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Pennsylvania	Agent	Approved	11/23/2021
<b>B</b> Puerto Rico	Agent	Approved	11/23/2021
<b>B</b> Rhode Island	Agent	Approved	11/23/2021
<b>B</b> South Carolina	Agent	Approved	11/23/2021
<b>B</b> South Dakota	Agent	Approved	11/23/2021
<b>B</b> Tennessee	Agent	Approved	11/23/2021
<b>B</b> Texas	Agent	Approved	11/23/2021
<b>B</b> Utah	Agent	Approved	11/23/2021
<b>B</b> Vermont	Agent	Approved	11/23/2021
<b>B</b> Virgin Islands	Agent	Approved	11/23/2021
<b>B</b> Virginia	Agent	Approved	11/23/2021
<b>B</b> Washington	Agent	Approved	11/23/2021
<b>B</b> West Virginia	Agent	Approved	11/23/2021
<b>B</b> Wisconsin	Agent	Approved	11/23/2021
<b>B</b> Wyoming	Agent	Approved	11/23/2021

### Branch Office Locations

**FIDELITY BROKERAGE SERVICES, LLC**  
LANCASTER, PA





## 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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**




#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/14/2023
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	05/11/2023

#### General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7TO)	Series 7TO	04/15/2021
	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	10/31/2019
	Securities Industry Essentials Examination (SIE)	SIE	10/09/2019

#### State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	05/07/2021
	 Uniform Securities Agent State Law Examination (S63)	Series 63	11/12/2019

### 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	12/17/2021 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	MERRIMACK, NH
IA	05/10/2021 - 11/19/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	LANCASTER, PA
B	10/31/2019 - 11/19/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	LANCASTER, PA

### 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
03/2025 - Present	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
11/2021 - Present	Fidelity Investments	Investment Solutions Representative	Y	Merrimack, NH, United States
07/2019 - 11/2021	Wells Fargo Clearing Services, LLC	Registered Rep	Y	Lancaster, PA, United States
09/2018 - 11/2021	Wells Fargo Bank, NA	Branch Relationship Manager	Y	Lancaster, PA, United States
09/2016 - 09/2018	Wells Fargo Bank, NA	Branch Manager	Y	Columbia, PA, United States
12/2015 - 09/2016	Wells Fargo Bank, NA	Personal Banker II	Y	Columbia, PA, 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.

OBA-124975|OrgNm:Real Estate Licensure/Agent|Org Addr:Lancaster,Pennsylvan,US|OBA Nature:Licensing to become a real est|Invst Rel:Y|Title:Independent Contractor|Duties:Help customers buy/sell houses/properties|StrtDt:12-15-25|TotHrs/mon:20|TrdHrs/mon:0|



## End of Report

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