



IAPD Report

CHRISTOPHER ANTHONY SAURO

CRD# 722865

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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

CHRISTOPHER ANTHONY SAURO (CRD# 722865)

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 **01/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	07/01/2003
IA	WELLS FARGO ADVISORS	CRD# 19616	09/29/2014

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **28** 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	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY	08/20/1990 - 07/01/2003
B	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ	03/14/1988 - 08/18/1990
B	SHEARSON LEHMAN HUTTON INC.	7506	WEEHAWKEN, NJ	02/15/1988 - 05/04/1988

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



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 **28** 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	07/01/2003
B FINRA	General Securities Sales Supervisor	Approved	07/01/2003
B NYSE American LLC	General Securities Representative	Approved	07/29/2011
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	09/30/2011
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	07/01/2003
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Alabama	Agent	Approved	01/23/2014
B Arizona	Agent	Approved	06/26/2004



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	07/01/2003
B Colorado	Agent	Approved	03/28/2019
B Connecticut	Agent	Approved	07/01/2003
B Delaware	Agent	Approved	03/13/2017
B Florida	Agent	Approved	07/01/2003
B Idaho	Agent	Approved	01/23/2025
B Illinois	Agent	Approved	04/18/2023
B Indiana	Agent	Approved	01/09/2014
B Maine	Agent	Approved	07/06/2005
B Maryland	Agent	Approved	07/01/2003
B Massachusetts	Agent	Approved	07/01/2003
B Michigan	Agent	Approved	04/07/2009
B Missouri	Agent	Approved	07/01/2003
B New Hampshire	Agent	Approved	07/01/2003
B New Jersey	Agent	Approved	07/01/2003
B New York	Agent	Approved	07/01/2003
IA New York	Investment Adviser Representative	Approved	07/27/2021
B North Carolina	Agent	Approved	09/09/2019
B Ohio	Agent	Approved	03/28/2021



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	07/01/2003
B Pennsylvania	Agent	Approved	07/01/2003
B Rhode Island	Agent	Approved	04/09/2014
B South Carolina	Agent	Approved	07/01/2003
B Tennessee	Agent	Approved	12/02/2009
B Texas	Agent	Approved	09/29/2014
IA Texas	Investment Adviser Representative	Restricted Approval	09/29/2014
B Vermont	Agent	Approved	01/30/2009
B Virginia	Agent	Approved	07/01/2003

Branch Office Locations

WELLS FARGO ADVISORS

2500 WESTCHESTER AVE STES 201 & 203
PURCHASE, NY 10577



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	07/07/1987

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	12/17/1982
General Securities Representative Examination (S7)	Series 7	01/17/1981

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	11/23/1992
Uniform Securities Agent State Law Examination (S63)	Series 63	12/17/1981

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
B	08/20/1990 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	03/14/1988 - 08/18/1990	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	02/15/1988 - 05/04/1988	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	
B	01/19/1981 - 02/15/1988	E. F. HUTTON & COMPANY INC	CRD# 235	

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	WHITE PLAINS, NY, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	WHITE PLAINS, NY, 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
Regulatory Event	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: Regulator

Regulatory Action Initiated By: NYSE DIVISION OF ENFORCEMENT.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/01/1994

Docket/Case Number: HPD 94-176

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: DECEMBER 1, 1994 -- STIPULATION AND CONSENT TO PENALTY FILED BY NYSE DIVISION ENFORCEMENT AND PENDING. -- CONSENTED TO FINDINGS: (A) A FINDING BY THE HEARING PANEL THAT HE: (1) VIOLATED EXCHANGE RULE 342(a) IN THAT HE FAILED TO REASONABLY SUPERVISE AND CONTROL THE ACTIVITIES OF A REGISTERED REPRESENTATIVE OF HIS MEMBER ORGANIZATION; AND (2) VIOLATED EXCHANGE RULE 405(2) IN THAT HE FAILED TO SUPERVISE DILIGENTLY ACCOUNTS HANDLED BY ONE REGISTERED REPRESENTATIVE OF HIS MEMBER ORGANIZATION EMPLOYER. (B) THE IMPOSITION BY THE EXCHANGE OF A PENALTY OF: A CENSURE AND A TWO WEEK SUSPENSION FROM EMPLOYMENT OR ASSOCIATION IN ANY SUPERVISORY CAPACITY WITH



ANY MEMBER OR MEMBER ORGANIZATION.

Current Status: Final

Resolution: Consent

Resolution Date: 03/10/1995

Sanctions Ordered: Censure
Suspension

Other Sanctions Ordered:

Sanction Details: DECISION HPD 94-176 ISSUED BY NYSE HEARING PANEL. VIOLATED RULE 342(a) BY FAILING TO REASONABLY SUPERVISE AND CONTROL THE ACTIVITIES OF A REGISTERED REPRESENTATIVE AND VIOLATION OF RULE 405 (2) BY FAILING TO SUPERVISE DILIGENTLY ACCOUNTS HANDLED BY A REGISTERED REPRESENTATIVE -- CONSENT TO CENSURE AND TWO-WEEK SUPERVISORY SUSPENSION.

Regulator Statement **MARCH 10, 1995** THE DECISION IS NOW FINAL THE SUSPENSION IMPOSED IS EFFECTIVE THE CLOSE OF BUSINESS MARCH 17, 1995. CONTACT: PEGGY L. GERMINO (212) 656-8450

Reporting Source: Individual

Regulatory Action Initiated By: NYSE DIVISION OF ENFORCEMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/01/1994

Docket/Case Number: HPD 94-176

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: STIPULATION AND CONSENT TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT. MR. SAURO CONSENTED TO FINDINGS: A FINDING BY THE HEARING PANEL TO HE 1. VIOLATED EXCHANGE RULE 342(A) IN THAT HE FAILED TO REASONABLY SUPERVISE & CONTROL THE ACTIVITIES OF A BROKER OF HIS MEMBER ORGANIZATION; 2. VIOLATED EXCHANGE RULE 405(2) IN THAT HE FAILED TO SUPERVISE DILIGENTLY ACCOUNTS HANDLED BY ONE BROKER OF HIS MEMBER ORGANIZATION.

Current Status: Final

Resolution: Consent

Resolution Date: 03/10/1995

Sanctions Ordered: Censure
Suspension

Other Sanctions Ordered:



Sanction Details:

MR. SAURO AGREED TO THE IMPOSITION BY THE EXCHANGE ON A PENALTY OF: A CENSURE AND A TWO WEEK SUSPENSION FROM EMPLOYMENT OR ASSOCIATION IN ANY SUPERVISORY CAPACITY WITH ANY MEMBER ORGANIZATION.

Broker Statement

Not Provided



End of Report

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