



## IAPD Report

# JEFFREY TRAVIS WAMSLEY

CRD# 7451778

| <b><u>Section Title</u></b>         | <b><u>Page(s)</u></b> |
|-------------------------------------|-----------------------|
| 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

### JEFFREY TRAVIS WAMSLEY (CRD# 7451778)

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 **10/27/2025**.

### CURRENT EMPLOYERS

|    | Firm                               | CRD#       | Registered Since |
|----|------------------------------------|------------|------------------|
| B  | WELLS FARGO CLEARING SERVICES, LLC | CRD# 19616 | 03/28/2022       |
| IA | WELLS FARGO ADVISORS               | CRD# 19616 | 04/14/2022       |

### QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **2** 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 |
|------|------|----------|--------------------|
|------|------|----------|--------------------|

No information reported.

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 2 jurisdiction(s) and 11 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 | 03/28/2022 |
| B | Cboe Exchange, Inc.     | General Securities Representative | Approved | 03/28/2022 |
| B | FINRA                   | General Securities Representative | Approved | 03/28/2022 |
| B | NYSE American LLC       | General Securities Representative | Approved | 03/28/2022 |
| B | NYSE Arca, Inc.         | General Securities Representative | Approved | 03/28/2022 |
| B | NYSE Texas, Inc.        | General Securities Representative | Approved | 03/28/2022 |
| B | Nasdaq GEMX, LLC        | General Securities Representative | Approved | 03/28/2022 |
| B | Nasdaq ISE, LLC         | General Securities Representative | Approved | 03/28/2022 |
| B | Nasdaq PHLX LLC         | General Securities Representative | Approved | 03/28/2022 |
| B | Nasdaq Stock Market     | General Securities Representative | Approved | 03/28/2022 |
| B | New York Stock Exchange | General Securities Representative | Approved | 03/28/2022 |
| B | California              | Agent                             | Approved | 07/12/2022 |
| B | Washington              | Agent                             | Approved | 04/14/2022 |



## Qualifications

| Regulator                                                                                   | Registration                      | Status   | Date       |
|---------------------------------------------------------------------------------------------|-----------------------------------|----------|------------|
|  Washington | Investment Adviser Representative | Approved | 04/14/2022 |

### Branch Office Locations

#### WELLS FARGO ADVISORS

1701 N 45TH ST  
SEATTLE, WA 98103



## 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>B</b> General Securities Representative Examination (S7TO) | Series 7TO | 03/09/2022 |
| <b>B</b> Securities Industry Essentials Examination (SIE)     | SIE        | 12/10/2021 |

#### State Securities Law Exams

| Exam                                                            | Category  | Date       |
|-----------------------------------------------------------------|-----------|------------|
| <b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66) | Series 66 | 04/13/2022 |



### 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:

No information reported.

### 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          |
|-------------------|------------------------------------|----------------|--------------------|----------------------------|
| 10/2021 - Present | WELLS FARGO CLEARING SERVICES, LLC | REGISTERED REP | Y                  | SEATTLE, WA, United States |
| 09/2016 - Present | WELLS FARGO BANK, NA               | PREMIER BANKER | Y                  | SEATTLE, WA, United States |
| 11/2010 - 09/2016 | STARBUCKS                          | BARISTA        | N                  | SEATTLE, WA, 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                                                         |
| Formal Charges were brought in:   | COUNTY COURT                                                       |
| Name of Court:                    | SNOHOMISH COUNTY DISTRICT COURT                                    |
| Location of Court:                | EVERETT, WA                                                        |
| Docket/Case #:                    | 4115A-06F                                                          |
| Charge Date:                      | 08/05/2006                                                         |
| Charge(s) 1 of 1                  |                                                                    |
| Formal Charge(s)/Description:     | CONTROLLED SUBSTANCE, NO PERSCRIPTION (RCW 69.5.4013)              |
| No of Counts:                     | 1                                                                  |
| Felony or Misdemeanor:            | Felony                                                             |
| Plea for each charge:             | NOT GUILTY                                                         |
| Disposition of charge:            | Amended                                                            |
| Date of Amended Charge:           | 12/22/2006                                                         |
| Charge was Amended or reduced to: | SOLICITING POSSESSION OF A CONTROLLED SUBSTANCE (RCW 69.40.401(g)) |
| Amended No of Counts:             | 1                                                                  |
| Amended Charge:                   | Misdemeanor                                                        |
| Amended Plea:                     | GUILTY                                                             |
| Disposition of Amended Charge:    | Convicted                                                          |
| Current Status:                   | Final                                                              |



**Status Date:** 02/14/2007

**Disposition Date:** 02/14/2007

**Sentence/Penalty:** I took a plea deal to have my charge reduced from Controlled Substance with no Prescription (felony) to Soliciting Possession of a Controlled Substance (g. misdemeanor) and pled guilty on 02/14/2007. I was sentenced to 2 years probation, 365 days in jail with 364 suspended and a \$5,000 fine, with \$4,000 suspended. I paid \$518.92 on 07/09/2008 and \$681.08 on 12/10/2008. I violated probation with a new charge that doesn't fit the criteria for Question 14A(1)b and was ordered to pay an additional \$250 on 12/18/2008, which I did and then the judge closed the case the same day.

**Broker Statement** On the night of August 5th, 2006, I was arrested for Controlled Substance with no Prescription (felony). On this night, I was attending a party at my aunt's house and was in my car with a couple of friends and we were getting ready to smoke marijuana. Apparently, one of my aunt's neighbors called in a noise complaint and when the police arrived, they saw my friends and I in my car and decided to investigate us first. I had some marijuana on my lap when they shined a flashlight through my window. Since they saw what I had on my lap, they asked us all to exit the vehicle so they could search it. Upon searching it, they found a bag with more marijuana in it. It was my bag, so I admitted to that and they placed me under arrest. I spent the night in the Snohomish County Jail that night and was released the following afternoon on my own personal recognizance. A couple side notes: (1). I was not sure how to complete two different questions of the charge details in the "Event and Disposition Details" section ("plea for each charge," the initial charge in my case and also disposition of amended or reduced charge), so I sought the advice of an attorney. I knew with certainty that the plea for my amended charge was "Guilty," but wasn't sure about the initial charge and the clerk's office for the Snohomish County District Court, who has been providing me all this case's detail wasn't sure how to answer this, so they are the ones that referred me to seek an attorney's advice. The attorney I worked with over the phone was able to look up my case and advised me that the plea for my initial charge was "Not Guilty" and instructed me to provide that answer in the "plea for each charge" field. This person also advised me that the disposition of amended or reduced charge in this case was "Convicted" and to select that option for that field. (2). The clerk's office for the Snohomish County District Court did tell me that my charge could be classified as amended or reduced and that they mean the same thing. I mention this because in the "Disposition of Charge" section of my charge details, these are two different options.



## End of Report

This page is intentionally left blank.