IAPD Report

KIM STIRES

CRD# 830115

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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

KIM STIRES (CRD# 830115)

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 **11/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 11025	01/24/2023
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	04/03/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	FLORHAM PARK, NJ	07/01/2003 - 01/23/2023
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	FLORHAM PARK, NJ	07/01/2003 - 01/23/2023
IA	PRUDENTIAL SECURITIES INCORPORATED	7471	FLORHAM PARK, NJ	06/03/2002 - 07/01/2003

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
Civil Event	1
Customer Dispute	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 **24** jurisdiction(s) and 1 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#: 11025

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/03/2023
B	California	Agent	Approved	04/03/2023
B	Colorado	Agent	Approved	04/03/2023
B	Connecticut	Agent	Approved	04/03/2023
B	Delaware	Agent	Approved	04/03/2023
B	District of Columbia	Agent	Approved	01/16/2024
B	Florida	Agent	Approved	04/03/2023
B	Georgia	Agent	Approved	04/03/2023
B	Kansas	Agent	Approved	04/03/2023
B	Maryland	Agent	Approved	04/03/2023
B	Massachusetts	Agent	Approved	04/03/2023
B	Michigan	Agent	Approved	04/03/2023
B	New Hampshire	Agent	Approved	04/05/2023

Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	04/03/2023
IA	New Jersey	Investment Adviser Representative	Approved	04/04/2023
B	New Mexico	Agent	Approved	09/20/2023
B	New York	Agent	Approved	04/03/2023
B	North Carolina	Agent	Approved	04/03/2023
B	Oregon	Agent	Approved	04/03/2023
B	Pennsylvania	Agent	Approved	04/03/2023
B	Rhode Island	Agent	Approved	04/03/2023
B	South Carolina	Agent	Approved	04/11/2023
B	Texas	Agent	Approved	04/03/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	01/24/2023
B	Vermont	Agent	Approved	04/03/2023
B	Virginia	Agent	Approved	04/03/2023
B	Washington	Agent	Approved	04/05/2023

Branch Office Locations

WELLS FARGO ADVISORS
210 MALAPARDIS ROAD STE 204
[SATELLITE]
CEDAR KNOLLS, NJ 07927

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	AMEX Put and Call Exam (PC)	PC	03/13/1987
B	General Securities Representative Examination (S7)	Series 7	11/20/1976

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/07/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/25/1984

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
B	07/01/2003 - 01/23/2023	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FLORHAM PARK, NJ
IA	07/01/2003 - 01/23/2023	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FLORHAM PARK, NJ
IA	06/03/2002 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	FLORHAM PARK, NJ
B	03/26/1981 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	09/26/1978 - 04/26/1979	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	12/01/1976 - 09/26/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

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 ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	Warren, NJ, United States
11/2016 - 01/2023	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	FLORHAM PARK, NJ, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	FLORHAM PARK, NJ, 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.

INVESTMENT STRATEGIES, INV RELATED, CEDAR KNOLLS, NJ, 33% OWNERSHIP, START 11/12/24, 32 HRS PER MONTH 8 HRS DURING TRADING, FINET PRACTICE;

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
Civil Event	1
Customer Dispute	1

Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Regulator
Initiated By:	SECURITIES AND EXCHANGE COMMISSION
Relief Sought:	
Other Relief Sought:	
Date Court Action Filed:	04/20/1983
Product Type:	
Other Product Types:	
Employing firm when activity occurred which led to the action:	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	04/20/1983
Sanctions Ordered or Relief Granted:	Cease and Desist/Injunction Disgorgement/Restitution
Other Sanctions:	
Sanction Details:	
Regulator Statement	SEC NEWS DIGEST, APRIL 21, 1983, ISSUE 83-77. ON APRIL 20, 1983, A COMPLAINT WAS FILED IN THE US DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK AGAINST GEORGE J. GASPER, JOSEPH F. SCRECK, TODD B. MARSH, LAWRENCE K. MARSH, EUGENE L. HALL, KIM B.

STIRES, DONALD RITGER, KENNETH LEACH, AND MARK YAGER. THE COMPLAINT ALLEGES VIOLATIONS OF THE ANTIFRAUD AND TENDER OFFER
PROVISIONS OF THE SECURITIES LAWS IN CONNECTION WITH THE OFFER AND SALE OF CLARK OIL AND REFINING CORPORATION STOCK, WHILE IN POSSESSION OF MATERIAL, NON-PUBLIC INFORMATION DURING THE PERIOD
OF DECEMBER 1979-JANUARY 1980. SIMULTANEOUSLY WITH THE FILING OF
THE COMPLAINT, SCHRECK, STIRES, T. MARSH, L. MARSH, LEACH AND YAGER CONSENTED, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS,
TO AN ORDER OF PERMANENT INJUNCTION AGAINST FURTHER VIOLATIONS
AND TO DISGORGE PROFITS AND COMMISSIONS REALIZED BY THEM. (SEC V. GEORGE J. GASPER, ET AL., 83-CIV-3037, CBM, SDNY)(LR-9970)

Reporting Source:	Individual
Initiated By:	SEC FILING 83-CIV-3037 SDNY LR 9970 FILED IN SOUTHERN DISTRICT
Relief Sought:	
Other Relief Sought:	
Date Court Action Filed:	04/01/1983
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Types:	
Court Details:	U.S. DISTRICT COURT SOUTHERN DISTRICT NEW YORK 83-CIV-3037 SDNY LR-9970
Employing firm when activity occurred which led to the action:	SMITH BARNEY
Allegations:	INSIDER TRADING
Current Status:	Final
Resolution:	Consent
Resolution Date:	04/01/1983
Sanctions Ordered or Relief Granted:	Disgorgement/Restitution $5,000.00
Other Sanctions:	PERMANENT INJUNCTION
Sanction Details:	DISGORGEMENT OF $5000.00
Broker Statement	WORKED FOR A SMITH BARNEY OFFICE THAT ALL BOUGHT STOCK IN CLARK OIL AND THE OFFICE WAS CHARGED.

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	EXECUTRIX FOR FORMER NJ CLIENT, STATES THAT UPON THE LIQUIDATION IN NOVEMBER 2006 OF APPROXIMATELY $400,000 OF BROKERED CDS PURCHASED DURING THE PERIOD OF JUNE 2002 THROUGH FEBRUARY 2006, SHE RECEIVED MARKET VALUE RATHER THAN FACE VALUE. CLAIMED LOSS OF $16,541.59.
Product Type:	CD(s)
Alleged Damages:	$16,541.59

Customer Complaint Information

Date Complaint Received:	02/28/2007
Complaint Pending?	No
Status:	Settled
Status Date:	07/20/2007
Settlement Amount:	$15,603.59
Individual Contribution Amount:	$0.00
Broker Statement	IN THE INTEREST OF CLIENT RELATIONS AND TO AVOID COSTLY AND TIME CONSUMING ARBITRATION, MATTER SETTLED IN THE AMOUNT OF $15,603.59, WITHOUT ADMITTING LIABILITY.

End of Report

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