

BrokerCheck Report

ALLSPRING FUNDS DISTRIBUTOR, LLC

CRD# 133366

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. [For more information about FINRA, visit www.finra.org.](http://www.finra.org)



ALLSPRING FUNDS DISTRIBUTOR,
LLC

CRD# 133366

SEC# 8-66716

Main Office Location

1415 VANTAGE PARK DRIVE
CHARLOTTE, NC 28203
Regulated by FINRA Atlanta Office

Mailing Address

100 HERITAGE RESERVE
FLOOR 1
MENOMONEE FALLS, WI 53051-4400

Business Telephone Number

888-877-9275

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.
This firm was formed in Delaware on 07/09/2004.
Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 53 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 3 types of businesses.
This firm is affiliated with financial or investment institutions.
This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 07/09/2004.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

ALLSPRING FUNDS DISTRIBUTOR, LLC

Doing business as ALLSPRING FUNDS DISTRIBUTOR, LLC

CRD# 133366

SEC# 8-66716

Main Office Location

1415 VANTAGE PARK DRIVE
CHARLOTTE, NC 28203

Regulated by FINRA Atlanta Office

Mailing Address

100 HERITAGE RESERVE
FLOOR 1
MENOMONEE FALLS, WI 53051-4400

Business Telephone Number

888-877-9275



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): ALLSPRING GLOBAL INVESTMENTS HOLDINGS LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Position PARENT

Position Start Date 07/2017

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): GIBSON, LORI MITCHUM

3070238

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF FINANCIAL OFFICER/PRINCIPAL FINANCIAL OFFICER/PRINCIPAL OPERATIONS OFFICER

Position Start Date 08/2021

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): KENNEY, JOHN DUFF

2387755

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 02/2023

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): MCKINLEY, KATHERINE SANDMAN
6807581

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF LEGAL OFFICER

Position Start Date 02/2023

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): MONINGER, JOHN KENNETH
2494976

Is this a domestic or foreign entity or an individual? Individual

Position PRESIDENT/CHAIRMAN

Position Start Date 02/2023

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): WILARY, CAROLYN ANN

Firm Profile



Direct Owners and Executive Officers (continued)

	4220513
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	02/2020
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	ALLSPRING BUYER LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	ALLSPRING GLOBAL INVESTMENT HOLDINGS LLC
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	07/2017
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ALLSPRING GROUP HOLDINGS LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	ALLSPRING INTERMEDIATE I LLC
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	08/2021
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ALLSPRING INTERMEDIATE I LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity



Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established ALLSPRING INTERMEDIATE II LLC

Relationship to Direct Owner SHAREHOLDER

Relationship Established 08/2021

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): ALLSPRING INTERMEDIATE II LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established ALLSPRING BUYER LLC

Relationship to Direct Owner SHAREHOLDER

Relationship Established 08/2021

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): GTCR FUND XIII/B LP

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established ALLSPRING GROUP HOLDINGS LLC

Relationship to Direct Owner SHAREHOLDER

Relationship Established 08/2021

Firm Profile



Indirect Owners (continued)

Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/14/2005

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	03/14/2005



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	03/17/2005
Alaska	Approved	03/14/2005
Arizona	Approved	03/21/2005
Arkansas	Approved	03/17/2005
California	Approved	03/15/2005
Colorado	Approved	03/28/2005
Connecticut	Approved	03/15/2005
Delaware	Approved	04/04/2005
District of Columbia	Approved	02/18/2005
Florida	Approved	03/15/2005
Georgia	Approved	03/21/2005
Hawaii	Approved	03/22/2005
Idaho	Approved	03/14/2005
Illinois	Approved	03/30/2005
Indiana	Approved	03/21/2005
Iowa	Approved	03/17/2005
Kansas	Approved	03/22/2005
Kentucky	Approved	03/15/2005
Louisiana	Approved	03/23/2005
Maine	Approved	03/16/2005
Maryland	Approved	03/22/2005
Massachusetts	Approved	03/22/2005
Michigan	Approved	03/23/2005
Minnesota	Approved	03/22/2005
Mississippi	Approved	03/23/2005
Missouri	Approved	03/02/2005
Montana	Approved	03/25/2005
Nebraska	Approved	04/15/2005
Nevada	Approved	03/17/2005
New Hampshire	Approved	03/25/2005
New Jersey	Approved	03/23/2005
New Mexico	Approved	03/16/2005
New York	Approved	04/01/2005

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	03/16/2005
North Dakota	Approved	03/23/2005
Ohio	Approved	03/22/2005
Oklahoma	Approved	03/17/2005
Oregon	Approved	04/06/2005
Pennsylvania	Approved	03/22/2005
Puerto Rico	Approved	03/17/2005
Rhode Island	Approved	02/10/2005
South Carolina	Approved	03/24/2005
South Dakota	Approved	03/16/2005
Tennessee	Approved	04/08/2005
Texas	Approved	03/14/2005
Utah	Approved	03/21/2005
Vermont	Approved	03/31/2005
Virgin Islands	Approved	04/29/2013
Virginia	Approved	03/16/2005
Washington	Approved	03/14/2005
West Virginia	Approved	03/15/2005
Wisconsin	Approved	03/21/2005
Wyoming	Approved	03/21/2005

Firm Operations



Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 3 types of businesses.

Types of Business

Mutual fund underwriter or sponsor
Mutual fund retailer
Private placements of securities

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: MIRRORWEB LTD.

Business Address: 500 WEST 2ND STREET
SUITE 1900
AUSTIN, TX 78701

Effective Date: 02/20/2024

Description: MIRRORWEB LTD. WILL PROVIDE ALLSPRING FUNDS DISTRIBUTOR, LLC ELECTRONIC RECORDS RETENTION OF ALLSPRING'S WEBSITE. MIRRORWEB LTD. WILL RETAIN ELECTRONIC RECORDS AND SERVE AS A DESIGNATED THIRD PARTY (D3P) IN ACCORDANCE WITH THE SECURITIES EXCHANGE ACT, RULE 17A-4(F)(2), (3)(VII)

Name: QUEST CE

Business Address: 10100 W. INNOVATION DRIVE
SUITE 200
MILWAUKEE, WI 53226

Effective Date: 03/12/2024

Description: QUEST CE WILL PROVIDE MULTIPLE ELECTRONIC APPLICATIONS IN SUPPORT OF ALLSPRING FUNDS DISTRIBUTOR, LLC COMPLIANCE ACTIVITIES, E.G. COMPLIANCE QUESTIONNAIRES AND FIRM ELEMENT TRAINING. QUEST CE WILL RETAIN ELECTRONIC RECORDS AND SERVE AS A DESIGNATED THIRD PARTY (D3P) IN ACCORDANCE WITH THE SECURITIES EXCHANGE ACT, RULE 17A-4(F)(2), (3)(VII).

Name: 17A-4, LLC/C. DOUGLAS WEEDON

Business Address: PO BOX 1492
MILLBROOK, NY 12545

Effective Date: 11/01/2022

Description: 17A-4, LLC WILL PROVIDE ALLSPRING FUNDS DISTRIBUTOR, LLC ELECTRONIC RECORDS RETENTION OF PUBLIC COMMUNICATIONS. 17A-4, LLC WILL RETAIN ELECTRONIC RECORDS AND SERVE AS A DESIGNATED THIRD PARTY (D3P) IN ACCORDANCE WITH THE SECURITIES EXCHANGE ACT, RULE 17A-4(F)(2), (3)(VII)

Name: EVEREN CAPITAL CORPORATION

Business Address: 301 SOUTH COLLEGE STREET
CHARLOTTE, NC 28202

Firm Operations



Industry Arrangements (continued)

Effective Date: 11/01/2021

Description: EVEREN CAPITAL CORPORATION AND ALLSPRING FUNDS DISTRIBUTORS LLC ARE PARTIES TO A TRANSITION SERVICES AGREEMENT (TSA) CONCERNING THE RETENTION OF HISTORICAL RECORDS RETAINED ON WELLS FARGO DIGITAL PLATFORMS. ALLSPRING FUNDS DISTRIBUTORS WILL ACCESS HISTORICAL RECORDS VIA THE TSA.

Name: VERITAS TECHNOLOGIES, LLC / CHRISTOPHER PAMBAKIAN

Business Address: 2625 AUGUSTINE DRIVE
SANTA CLARA, CA 95054

Effective Date: 10/26/2021

Description: VERITAS TECHNOLOGIES, LLC WILL PROVIDE ALLSPRING FUNDS DISTRIBUTOR, LLC ELECTRONIC RECORDS RETENTION OF EMAIL AND FAX COMMUNICATIONS. VERITAS TECHNOLOGIES, LLC WILL ALSO SERVE AS THE DESIGNATED THIRD PARTY (D3P) IN ACCORDANCE WITH THE SECURITIES EXCHANGE ACT, RULE 17A-4(F)(2),(3)(VII)

Name: REGED, INC. / ANGELA PACE

Business Address: 2100 GATEWAY CENTRE BLVD
SUITE 200
MORRISVILLE, NC 27560

Effective Date: 10/26/2021

Description: REGED, INC. WILL PROVIDE MULTIPLE ELECTRONIC APPLICATIONS IN SUPPORT OF ALLSPRING FUNDS DISTRIBUTOR, LLC COMPLIANCE ACTIVITIES, E.G., AUDIT MANAGEMENT, COMPLIANCE QUESTIONNAIRES, CUSTOMER COMPLIANT MANAGEMENT, OUTSIDE BUSINESS ACTIVITY RECONCILIATION ACTIVITIES, AND MARKETING REVIEW. REGED WILL RETAIN ELECTRONIC RECORDS AND SERVE AS AS DESIGNATED THIRD PARTY (D3P) IN ACCORDANCE WITH THE SECURITIES EXCHANGE ACT, RULE 17A-4(F)(2),(3)(VII)

Name: PROOFPOINT, INC. / PAUL AUVIL

Business Address: 925 W. MAUDE AVENUE
SUNNYVALE, CA 94085

Effective Date: 10/26/2021

Description: PROOFPOINT, INC. WILL PROVIDE ALLSPRING FUNDS DISTRIBUTOR, LLC ELECTRONIC RECORDS RETENTION OF SOCIAL MEDIA COMMUNICATIONS. PROOFPOINT, INC. WILL RETAIN ELECTRONIC RECORDS AND SERVE AS A DESIGNATED THIRD PARTY (D3P) IN ACCORDANCE WITH THE SECURITIES EXCHANGE ACT, RULE 17A-

Firm Operations



Industry Arrangements (continued)

4(F)(2),(3)(VII)

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

ALLSPRING GLOBAL INVESTMENTS LUXEMBOURG S.A. is under common control with the firm.

Business Address:	33, RUE DE GASPERICH, L-826 BUILDING H2O HESPERANGE, LUXEMBOURG
Effective Date:	11/12/2014
Foreign Entity:	Yes
Country:	LUXEMBOURG
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	THE APPLICANT AND THIS ENTITY ARE BOTH INDIRECT, WHOLLY OWNED SUBSIDIARIES OF ALLSPRING GROUP HOLDINGS, LLC.

ALLSPRING GLOBAL INVESTMENTS (UK) LIMITED is under common control with the firm.

CRD #:	132377
Business Address:	33 KING WILLIAM STREET LONDON, UNITED KINGDOM EC4R 9AT
Effective Date:	12/31/2008
Foreign Entity:	Yes
Country:	ENGLAND
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT AND THIS ENTITY ARE BOTH INDIRECT, WHOLLY OWNED SUBSIDIARIES OF ALLSPRING GROUP HOLDINGS, LLC.

Firm Operations



Organization Affiliates (continued)

ALLSPRING GLOBAL INVESTMENTS, LLC is under common control with the firm.

CRD #:	104973
Business Address:	525 MARKET STREET, 12TH FLOOR 12TH FLOOR SAN FRANCISCO, CA 94105
Effective Date:	07/09/2004
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT AND THIS ENTITY ARE BOTH INDIRECT, WHOLLY OWNED SUBSIDIARIES OF ALLSPRING GROUP HOLDINGS, LLC.

GALLIARD CAPITAL MANAGEMENT, LLC is under common control with the firm.

CRD #:	106487
Business Address:	800 LASALLE AVENUE SUITE 1400 MINNEAPOLIS, MN 55402
Effective Date:	07/09/2004
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT AND THIS ENTITY ARE BOTH INDIRECT, WHOLLY OWNED SUBSIDIARIES OF ALLSPRING GROUP HOLDINGS, LLC.

ALLSPRING FUNDS MANAGEMENT, LLC is under common control with the firm.

CRD #:	110841
Business Address:	525 MARKET STREET 12TH FLOOR SAN FRANCISCO, CA 94015

Firm Operations



Organization Affiliates (continued)

Effective Date:	07/09/2004
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE APPLICANT AND THIS ENTITY ARE BOTH INDIRECT, WHOLLY OWNED SUBSIDIARIES OF ALLSPRING GROUP HOLDINGS, LLC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Current Status: Final



Allegations:	SUBJECT VOLUNTARILY DISCLOSED THAT IT UNWILLINGLY AND UNINTENTIONALLY FAILED TO REGISTER A BROKER-DEALER AGENT (BDA) WHO HAD PASSED THE SERIES 63 EXAM IN 2009 AND HAD BEEN WORKING IN A CALIFORNIA BRANCH OFFICE OF SUBJECT.
Initiated By:	CALIFORNIA
Date Initiated:	11/01/2013
Docket/Case Number:	N/A
URL for Regulatory Action:	
Principal Product Type:	Mutual Fund(s)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	
Resolution:	Stipulation and Consent
Resolution Date:	02/11/2014
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Monetary/Fine \$8,000.00
Other Sanctions Ordered:	SUBJECT ACKNOWLEDGED THAT ITS UNINTENTIONAL AND UNWILLING FAILURE TO TIMELY REGISTER THE APPLICATION OF ITS BDA WAS INCONSISTENT WITH THE PROVISIONS OF CA CORP. CODE SECTION 25210(B).
Sanction Details:	SUBJECT PAID A PENALTY OF \$8000 TO THE COMMISSIONER.
Regulator Statement	THE COMMISSIONER FOUND THE PUBLIC INTEREST SERVED BY ALLOWING REGISTRATION OF THE BDA WHO RELIED IN GOOD FAITH UPON SUBJECT'S TIMELY FILING OF THE BDA'S REGISTRATION APPLICATION WITH THE COMMISSIONER.
<hr/>	
Reporting Source:	Firm
Current Status:	Final



Allegations:	WELLS FARGO FUNDS DISTRIBUTOR, LLC. VOLUNTARILY DISCLOSED THAT IT UNWILLINGLY AND UNINTENTIONALLY FAILED TO REGISTER A BROKER-DEALER AGENT (BDA) WHO HAD PASSED THE SERIES 63 EXAM IN 2009 AND HAD BEEN WORKING IN A CALIFORNIA BRANCH OFFICE OF SUBJECT.
Initiated By:	CALIFORNIA
Date Initiated:	11/20/2013
Docket/Case Number:	N/A
Principal Product Type:	Mutual Fund(s)
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	
Resolution:	Stipulation and Consent
Resolution Date:	02/11/2014
Sanctions Ordered:	Monetary/Fine \$8,000.00
Other Sanctions Ordered:	WELLS FARGO FUNDS DISTRIBUTOR, LLC. ACKNOWLEDGED THAT ITS UNINTENTIONAL AND UNWILLING FAILURE TO TIMELY REGISTER THE APPLICATION OF ITS BDA WAS INCONSISTENT WITH THE PROVISIONS OF CA CORP. CODE SECTION 25210(B).
Sanction Details:	WELLS FARGO FUNDS DISTRIBUTOR, LLC. PAID A PENALTY OF \$8000 TO THE COMMISSIONER. IT WAS CONFIRMED AS RECEIVED ON FEBRUARY 19, 2014.
Firm Statement	WELLS FARGO FUNDS DISTRIBUTOR, LLC (WFFD) DISCOVERED THAT ONE OF ITS BDAS WAS NOT REGISTERED IN HER HOME STATE OF CALIFORNIA AFTER PASSING THE SERIES 63 EXAM. WELLS FARGO FUNDS DISTRIBUTOR, LLC VOLUNTARILY DISCLOSED THIS ERROR TO THE STATE OF CALIFORNIA AND ASKED THAT THE BDA BE GRANTED A WAIVER FOR THE STATE REGISTRATION AS IT WAS BEYOND THE ALLOWABLE 2 YEAR TIME PERIOD. THE STATE OF CALIFORNIA GRANTED THE WAIVER OF EXAMINATION REQUIREMENT. WFFD AGREED TO PAY A MONETARY FINE AND ENTERED INTO A SETTLEMENT AGREEMENT TO RESOLVE THE MATTER. THE FINE WAS SUBMITTED TO AND RECEIVED BY THE STATE OF CALIFORNIA FEBRUARY 19. 2014.

End of Report



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