BrokerCheck Report

PETER MICHAEL BROWN

CRD# 1797329

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.

PETER M. BROWN

CRD# 1797329

Currently employed by and registered with the following Firm(s):

B **WELLS FARGO CLEARING SERVICES, LLC**
550 S TRYON ST 44TH FL
[BH-RBO]
CHARLOTTE, NC 28202
CRD# 19616
Registered with this firm since: 06/26/2023

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 11 Self-Regulatory Organizations
- 0 U.S. states and territories

This broker has passed:

- 4 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

B **INNOVATION PARTNERS LLC**
CRD# 146344
Charlotte, NC
02/2019 - 08/2019

IA **PNC INVESTMENTS**
CRD# 129052
PITTSBURGH, PA
05/2015 - 02/2019

B **PNC INVESTMENTS**
CRD# 129052
CHARLOTTE, NC
11/2014 - 02/2019

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 11 SROs and is licensed in 0 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WELLS FARGO CLEARING SERVICES, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE**
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103

Firm CRD#: **19616**

	SRO	Category	Status	Date
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	06/26/2023
B	Cboe Exchange, Inc.	General Securities Representative	Approved	06/26/2023
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	06/26/2023
B	FINRA	General Securities Representative	Approved	06/26/2023
B	FINRA	General Securities Sales Supervisor	Approved	06/26/2023
B	FINRA	Operations Professional	Approved	09/28/2023
B	NYSE American LLC	General Securities Representative	Approved	06/26/2023
B	NYSE American LLC	General Securities Sales Supervisor	Approved	06/26/2023
B	NYSE Arca, Inc.	General Securities Representative	Approved	06/26/2023
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	06/26/2023
B	NYSE Texas, Inc.	General Securities Representative	Approved	06/26/2023
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	06/26/2023
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	06/26/2023
B	Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	06/26/2023
B	Nasdaq ISE, LLC	General Securities Representative	Approved	06/26/2023

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	06/26/2023
B	Nasdaq PHLX LLC	General Securities Representative	Approved	06/26/2023
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	06/26/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	06/26/2023
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/26/2023
B	New York Stock Exchange	General Securities Representative	Approved	06/26/2023
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	06/26/2023

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC
550 S TRYON ST 44TH FL
[BH-RBO]
CHARLOTTE, NC 28202

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 4 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Introducing Broker/Dealer Financial Operations Principal Examination	Series 28	12/20/2009
B	General Securities Principal Examination	Series 24	11/10/2008
B	General Securities Sales Supervisor - General Module Examination	Series 10	02/02/2000
B	General Securities Sales Supervisor - Options Module Examination	Series 9	02/02/2000

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination	Series 99TO	09/28/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Futures Managed Funds Examination	Series 31	04/07/2008
B	General Securities Representative Examination	Series 7	05/21/1988

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	02/12/2015
B	Uniform Securities Agent State Law Examination	Series 63	01/31/1997

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	02/2019 - 08/2019	INNOVATION PARTNERS LLC	146344	Charlotte, NC
IA	05/2015 - 02/2019	PNC INVESTMENTS	129052	CHARLOTTE, NC
B	11/2014 - 02/2019	PNC INVESTMENTS	129052	CHARLOTTE, NC
B	07/2013 - 11/2014	CETERA ADVISOR NETWORKS LLC	13572	MATTHEWS, NC
B	04/2010 - 10/2011	NRF CAPITAL MARKETS, LLC	150409	GREENWOOD VILLAGE, CO
B	08/2009 - 06/2010	WELTON STREET INVESTMENTS LLC	132111	ENGLEWOOD, CO
B	06/2008 - 06/2009	WELTON STREET INVESTMENTS LLC	132111	ENGLEWOOD, CO
IA	04/2008 - 05/2008	MORGAN STANLEY & CO. INCORPORATED	8209	CENTENNIAL, CO
B	04/2007 - 05/2008	MORGAN STANLEY & CO. INCORPORATED	8209	CENTENNIAL, CO
B	11/2006 - 04/2007	MORGAN STANLEY DW INC.	7556	CENTENNIAL, CO
IA	11/2004 - 11/2006	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	COLORADO SPRINGS, CO
B	07/1996 - 11/2006	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	COLORADO SPRINGS, CO
B	12/1995 - 07/1996	WMA SECURITIES, INC.	32625	DULUTH, GA
B	05/1990 - 01/1994	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B	05/1988 - 05/1989	THE STUART-JAMES COMPANY, INCORPORATED	11691	DENVER, CO

Employment History

Registration and Employment History

Employment History, continued

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
05/2023 - Present	WELLS FARGO CLEARING SERVICES	REGISTERED REP	Y	CHARLOTTE, NC, United States
01/2023 - Present	WELLS FARGO BANK	LEAD COMPLIANCE OFFICER	N	CHARLOTTE, NC, United States
06/2022 - 12/2022	Strategic Staffing	Compliance Officer (Contract Role) ?Review state and federal legal citations. ?Participated in project to perform review of all client communications including email, text, scripts, and letters. ?Review of amended policy and procedure.	Y	Charlotte, NC, United States
03/2021 - 03/2022	Aeroteck	Compliance Officer (Contract position) ?Reviewed legal regulatory alerts and regulatory requirements to determine applicability to lines of businesses and support functions ?Reviewed new policies and changes to existing policies to determine pertinency to laws and ensure regulations supported ?Provided Human Resources compliance support and served as the subject matter	Y	Charlotte, NC, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
		the subject matter expert for various employment laws and regulations, such as (FLSA), (CCPA), and ERISA		
10/2020 - 03/2021	Unemployed	Unemployed	N	Charlotte, NC, United States
04/2020 - 10/2020	Aerotek	Compliance Officer (Contract Role) ?Supported the quarterly review process and updated of the Written Supervisory Procedures, reviewing proposed content and staging the content for final review and approval before publication ?Assisted with the implementation of regulatory and corporate training requirements to ensure employees understood all the relevant laws, regulations, and internal policies ?Worked with Compliance stakeholders to review training requirements.	Y	Charlotte, NC, United States
03/2019 - 03/2020	Unemployed	Unemployed	N	Charlotte, NC, United States
02/2019 - 08/2019	Innovation Partners, LLC	Senior Compliance Officer Directed initiatives to support broker dealer and investment advisory division in meeting regulatory	Y	Charlotte, NC, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
		meeting regulatory requirements for diversified financial services and consulting firm. Led risk mitigation strategies to protect the firm, clients, and representatives. Reviewed and approved new accounts, and all annuity transactions to identify appropriate consumer needs and financial objectives addressed.		
11/2014 - 02/2019	PNC INVESTMENTS	REGIONAL SUPERVISORY OFFICER	Y	CHARLOTTE, NC, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

End of Report

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