

BrokerCheck Report

JOHN GERARD ARENSDORF

CRD# 1798680

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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.

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)

JOHN G. ARENSDORF

CRD# 1798680

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

IA WELLS FARGO ADVISORS
 2041 ROSECRANS AVE SUITE 355
 [SATELLITE]
 EL SEGUNDO, CA 90245
 CRD# 11025
 Registered with this firm since: 05/12/2023

B WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
 2041 ROSECRANS AVE SUITE 355
 [SATELLITE]
 EL SEGUNDO, CA 90245
 CRD# 11025
 Registered with this firm since: 05/12/2023

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:**

- 1 Self-Regulatory Organization
- 17 U.S. states and territories

This broker has passed:

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

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

- B WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 EL SEGUNDO, CA
 01/2011 - 05/2023
- IA WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 ST. LOUIS, MO
 01/2011 - 05/2023
- B WELLS FARGO INVESTMENTS, LLC**
 CRD# 10582
 MANHATTAN BEACH, CA
 04/2007 - 01/2011

**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? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	3



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 1 SRO and is licensed in 17 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-063
ST. LOUIS, MO 63103**

Firm CRD#: **11025**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	05/12/2023

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	05/15/2023
B Arizona	Agent	Approved	05/12/2023
B California	Agent	Approved	05/12/2023
IA California	Investment Adviser Representative	Approved	05/12/2023
B Florida	Agent	Approved	05/12/2023
B Georgia	Agent	Approved	05/12/2023
B Hawaii	Agent	Approved	05/12/2023
B Idaho	Agent	Approved	05/12/2023
B Kansas	Agent	Approved	01/11/2024
B Minnesota	Agent	Approved	05/17/2023
B Nevada	Agent	Approved	05/12/2023
B New York	Agent	Approved	05/12/2023



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Oregon	Agent	Approved	05/12/2023
B	Pennsylvania	Agent	Approved	05/12/2023
B	Rhode Island	Agent	Approved	05/12/2023
B	Texas	Agent	Approved	05/12/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	05/12/2023
B	Virginia	Agent	Approved	05/12/2023
B	Washington	Agent	Approved	05/12/2023

Branch Office Locations

WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC

2041 ROSECRANS AVE SUITE 355

[SATELLITE]

EL SEGUNDO, CA 90245



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.

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	10/01/2018
B National Commodity Futures Examination	Series 3	03/04/1992
B General Securities Representative Examination	Series 7	04/16/1988

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/06/2020
B Uniform Securities Agent State Law Examination	Series 63	11/08/1991

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 01/2011 - 05/2023	WELLS FARGO CLEARING SERVICES, LLC	19616	EL SEGUNDO, CA
IA 01/2011 - 05/2023	WELLS FARGO CLEARING SERVICES, LLC	19616	EL SEGUNDO, CA
B 04/2007 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	MANHATTAN BEACH, CA
IA 04/2007 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	MANHATTAN BEACH, CA
IA 12/1997 - 04/2007	UNIONBANC INVESTMENT SERVICES, LLC	14455	TORRANCE, CA
B 05/1996 - 04/2007	UNIONBANC INVESTMENT SERVICES, LLC	14455	TORRANCE, CA
B 10/1995 - 05/1996	FIRST INTERSTATE INVESTMENTS, INC.	17101	
B 08/1994 - 10/1995	VAN KASPER & COMPANY	7665	SAN FRANCISCO, CA
B 10/1991 - 08/1994	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 09/1988 - 10/1991	NYLIFE SECURITIES INC.	5167	NEW YORK, NY
B 04/1988 - 09/1988	WASHINGTON NATIONAL EQUITY COMPANY	4242	EVANSTON, IL

Employment History

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 ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	Long Beach, CA, United States
11/2016 - 05/2023	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	MANHATTAN BEACH, CA, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	MANHATTAN BEACH, CA, United States

Registration and Employment History



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.

RENTAL PROPERTY, INVT RELATED, LONG BEACH, CA, 100% OWNERSHIP, START DATE 10/1/2019, 0 HRS PER MONTH, 0 HRS DURING TRADING, RENTAL INCOME.

RENTAL PROPERTY, INV RELATED, PALM DESERT, CA, 100% OWNERSHIP WITH SPOUSE, START 5/13/2021, 0 HOURS PER MONTH, ZERO HOURS DURING TRADING. OWNER.

ARENSDORF AND ASSOCIATES, LLC, INVT RELATED, EL SEGUNDO, CA, 100% OWNERSHIP, START DATE 5/12/2023, 160 HRS PER MONTH, 120 HRS DURING TRADING, FINET PRACTICE.



Disclosure Events

What you should know about reported disclosure events:

1. 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.
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 broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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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 brokers and brokerage 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.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	3	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors
Allegations:	Client complained that the financial advisor did not sell as instructed. (4/16/2020-4/21/2020)
Product Type:	Other: Wrap Accounts
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm cannot make a good faith determination that the damages from the alleged conduct would be less than \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/21/2020
Complaint Pending?	No
Status:	Settled
Status Date:	06/03/2020



Settlement Amount:	\$7,529.20
Individual Contribution Amount:	\$0.00
Broker Statement	A change in the cut off time resulted in the position being executed the following day.

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS, LLC
Allegations:	THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008. ACTIVITY DATE(S): 8/3/2007
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	GOOD FAITH DETERMINATION THAT COMPENSATORY DAMAGES WERE LESS THAN \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/22/2009
Complaint Pending?	No
Status:	Settled
Status Date:	02/25/2010
Settlement Amount:	\$300,000.00
Individual Contribution Amount:	\$0.00



Broker Statement

THE FIRM REPURCHASED THE ARS SECURITIES AT ISSUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A TRADITIONAL SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE. THE NAMED REPRESENTATIVE: WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND REGULATORS; THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT; AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UNIONBANC INVESTMENT SERVICES
Allegations:	CLIENTS ALLEGED ARS WAS NOT SUITABLE
Product Type:	Other: ARS
Alleged Damages:	\$825,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/21/2011
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	05/23/2011
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	ARS WAS CALLED IN FULL ON MAY 16TH, 2011

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UNIONBANC INVESTMENT SERVICES
Allegations:	CLIENTS ALLEGED ARS WAS NOT SUITABLE



Product Type: Other: ARS
Alleged Damages: \$825,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/21/2011
Complaint Pending? No
Status: Closed/No Action
Status Date: 05/23/2011
Settlement Amount:
Individual Contribution Amount:
Broker Statement ARS WAS CALLED IN FULL ON MAY 16TH, 2011

End of Report



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