

## BrokerCheck Report

**JOANNE VETH**

CRD# 1907795

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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.

**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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**JOANNE VETH**

CRD# 1907795

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

- B** **WELLS FARGO SECURITIES, LLC**  
 194 S Wood Ave  
 Iselin, NJ 08830  
 CRD# 126292  
 Registered with this firm since: 04/25/2018

**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:**

- 27 Self-Regulatory Organizations
- 1 U.S. state or territory

**This broker has passed:**

- 4 Principal/Supervisory Exams
- 7 General Industry/Product Exams
- 1 State Securities Law Exam

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

- B** **MORGAN STANLEY & CO. LLC**  
 CRD# 8209  
 NEW YORK, NY  
 02/2016 - 04/2018
- B** **HSBC SECURITIES (USA) INC.**  
 CRD# 19585  
 NEW YORK CITY, NY  
 07/2014 - 01/2016
- B** **J.P. MORGAN SECURITIES LLC**  
 CRD# 79  
 NEW YORK, NY  
 10/2008 - 03/2014

**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 27 SROs and is licensed in 1 U.S. state or territory through his or her employer.**

### Employment 1 of 1

Firm Name: **WELLS FARGO SECURITIES, LLC**  
 Main Office Address: **550 SOUTH TRYON STREET, 6TH FLOOR  
 D1086-060  
 CHARLOTTE, NC 28202**  
 Firm CRD#: **126292**

|   | SRO                       | Category                            | Status   | Date       |
|---|---------------------------|-------------------------------------|----------|------------|
| B | 24X National Exchange LLC | General Securities Representative   | Approved | 10/31/2025 |
| B | 24X National Exchange LLC | Securities Trader                   | Approved | 10/31/2025 |
| B | BOX Exchange LLC          | General Securities Representative   | Approved | 04/25/2018 |
| B | BOX Exchange LLC          | General Securities Sales Supervisor | Approved | 04/25/2018 |
| B | BOX Exchange LLC          | Registered Options Principal        | Approved | 04/25/2018 |
| B | BOX Exchange LLC          | Securities Trader                   | Approved | 04/25/2018 |
| B | Cboe BYX Exchange, Inc.   | General Securities Representative   | Approved | 04/25/2018 |
| B | Cboe BYX Exchange, Inc.   | Securities Trader                   | Approved | 04/25/2018 |
| B | Cboe BZX Exchange, Inc.   | General Securities Representative   | Approved | 04/25/2018 |
| B | Cboe BZX Exchange, Inc.   | Registered Options Principal        | Approved | 04/25/2018 |
| B | Cboe BZX Exchange, Inc.   | Securities Trader                   | Approved | 04/25/2018 |
| B | Cboe C2 Exchange, Inc.    | General Securities Representative   | Approved | 04/25/2018 |
| B | Cboe C2 Exchange, Inc.    | General Securities Sales Supervisor | Approved | 04/25/2018 |
| B | Cboe C2 Exchange, Inc.    | Registered Options Principal        | Approved | 04/25/2018 |
| B | Cboe C2 Exchange, Inc.    | Securities Trader                   | Approved | 04/25/2018 |

## Broker Qualifications



### Employment 1 of 1, continued

|   | SRO                            | Category                             | Status   | Date       |
|---|--------------------------------|--------------------------------------|----------|------------|
| B | Cboe EDGA Exchange, Inc.       | General Securities Representative    | Approved | 04/25/2018 |
| B | Cboe EDGA Exchange, Inc.       | General Securities Sales Supervisor  | Approved | 04/25/2018 |
| B | Cboe EDGA Exchange, Inc.       | Securities Trader                    | Approved | 04/25/2018 |
| B | Cboe EDGX Exchange, Inc.       | General Securities Representative    | Approved | 04/25/2018 |
| B | Cboe EDGX Exchange, Inc.       | General Securities Sales Supervisor  | Approved | 04/25/2018 |
| B | Cboe EDGX Exchange, Inc.       | Registered Options Principal         | Approved | 04/25/2018 |
| B | Cboe EDGX Exchange, Inc.       | Securities Trader                    | Approved | 04/25/2018 |
| B | Cboe Exchange, Inc.            | General Securities Representative    | Approved | 04/25/2018 |
| B | Cboe Exchange, Inc.            | General Securities Sales Supervisor  | Approved | 04/25/2018 |
| B | Cboe Exchange, Inc.            | Registered Options Principal         | Approved | 04/25/2018 |
| B | Cboe Exchange, Inc.            | Securities Trader                    | Approved | 03/08/2019 |
| B | FINRA                          | General Securities Representative    | Approved | 04/25/2018 |
| B | FINRA                          | General Securities Sales Supervisor  | Approved | 04/25/2018 |
| B | FINRA                          | Investment Banking Representative    | Approved | 04/25/2018 |
| B | FINRA                          | Operations Professional              | Approved | 04/25/2018 |
| B | FINRA                          | Registered Options Principal         | Approved | 04/25/2018 |
| B | FINRA                          | Securities Trader                    | Approved | 04/25/2018 |
| B | FINRA                          | Government Securities Representative | Approved | 09/14/2020 |
| B | Investors' Exchange LLC        | General Securities Representative    | Approved | 04/25/2018 |
| B | Investors' Exchange LLC        | Securities Trader                    | Approved | 04/25/2018 |
| B | Long-Term Stock Exchange, Inc. | General Securities Representative    | Approved | 02/03/2021 |
| B | Long-Term Stock Exchange, Inc. | Securities Trader                    | Approved | 02/03/2021 |

## Broker Qualifications



### Employment 1 of 1, continued

| SRO                                                   | Category                            | Status   | Date       |
|-------------------------------------------------------|-------------------------------------|----------|------------|
| <b>B</b> MEMX LLC                                     | General Securities Representative   | Approved | 09/14/2020 |
| <b>B</b> MEMX LLC                                     | General Securities Sales Supervisor | Approved | 09/14/2020 |
| <b>B</b> MEMX LLC                                     | Securities Trader                   | Approved | 09/14/2020 |
| <b>B</b> MEMX LLC                                     | Registered Options Principal        | Approved | 01/10/2025 |
| <b>B</b> MIAX Emerald, LLC                            | General Securities Representative   | Approved | 03/08/2019 |
| <b>B</b> MIAX Emerald, LLC                            | General Securities Sales Supervisor | Approved | 03/08/2019 |
| <b>B</b> MIAX Emerald, LLC                            | Registered Options Principal        | Approved | 03/08/2019 |
| <b>B</b> MIAX Emerald, LLC                            | Securities Trader                   | Approved | 03/08/2019 |
| <b>B</b> MIAX PEARL, LLC                              | General Securities Representative   | Approved | 04/25/2018 |
| <b>B</b> MIAX PEARL, LLC                              | General Securities Sales Supervisor | Approved | 04/25/2018 |
| <b>B</b> MIAX PEARL, LLC                              | Registered Options Principal        | Approved | 04/25/2018 |
| <b>B</b> MIAX PEARL, LLC                              | Securities Trader                   | Approved | 04/25/2018 |
| <b>B</b> MIAX Sapphire                                | General Securities Representative   | Approved | 09/23/2024 |
| <b>B</b> MIAX Sapphire                                | General Securities Sales Supervisor | Approved | 09/23/2024 |
| <b>B</b> MIAX Sapphire                                | Registered Options Principal        | Approved | 09/23/2024 |
| <b>B</b> MIAX Sapphire                                | Securities Trader                   | Approved | 09/23/2024 |
| <b>B</b> Miami International Securities Exchange, LLC | General Securities Representative   | Approved | 04/25/2018 |
| <b>B</b> Miami International Securities Exchange, LLC | General Securities Sales Supervisor | Approved | 04/25/2018 |
| <b>B</b> Miami International Securities Exchange, LLC | Registered Options Principal        | Approved | 04/25/2018 |
| <b>B</b> Miami International Securities Exchange, LLC | Securities Trader                   | Approved | 04/25/2018 |

## Broker Qualifications



### Employment 1 of 1, continued

|   | SRO                 | Category                            | Status   | Date       |
|---|---------------------|-------------------------------------|----------|------------|
| B | NYSE American LLC   | General Securities Representative   | Approved | 04/25/2018 |
| B | NYSE American LLC   | Registered Options Principal        | Approved | 04/25/2018 |
| B | NYSE American LLC   | Securities Trader                   | Approved | 04/25/2018 |
| B | NYSE American LLC   | General Securities Sales Supervisor | Approved | 10/01/2018 |
| B | NYSE Arca, Inc.     | General Securities Representative   | Approved | 04/25/2018 |
| B | NYSE Arca, Inc.     | General Securities Sales Supervisor | Approved | 04/25/2018 |
| B | NYSE Arca, Inc.     | Registered Options Principal        | Approved | 04/25/2018 |
| B | NYSE Arca, Inc.     | Securities Trader                   | Approved | 04/25/2018 |
| B | NYSE National, Inc. | Securities Trader                   | Approved | 09/17/2018 |
| B | NYSE National, Inc. | General Securities Representative   | Approved | 03/08/2019 |
| B | NYSE National, Inc. | General Securities Sales Supervisor | Approved | 03/08/2019 |
| B | NYSE Texas, Inc.    | General Securities Representative   | Approved | 04/25/2018 |
| B | NYSE Texas, Inc.    | Securities Trader                   | Approved | 04/25/2018 |
| B | NYSE Texas, Inc.    | General Securities Sales Supervisor | Approved | 03/08/2019 |
| B | Nasdaq BX, Inc.     | General Securities Representative   | Approved | 04/25/2018 |
| B | Nasdaq BX, Inc.     | General Securities Sales Supervisor | Approved | 04/25/2018 |
| B | Nasdaq BX, Inc.     | Registered Options Principal        | Approved | 04/25/2018 |
| B | Nasdaq BX, Inc.     | Securities Trader                   | Approved | 04/25/2018 |
| B | Nasdaq GEMX, LLC    | General Securities Representative   | Approved | 04/25/2018 |
| B | Nasdaq GEMX, LLC    | Registered Options Principal        | Approved | 04/25/2018 |
| B | Nasdaq GEMX, LLC    | Securities Trader                   | Approved | 04/25/2018 |
| B | Nasdaq GEMX, LLC    | General Securities Sales Supervisor | Approved | 10/01/2018 |

## Broker Qualifications



### Employment 1 of 1, continued

| SRO                              | Category                            | Status   | Date       |
|----------------------------------|-------------------------------------|----------|------------|
| <b>B</b> Nasdaq ISE, LLC         | General Securities Representative   | Approved | 04/25/2018 |
| <b>B</b> Nasdaq ISE, LLC         | Registered Options Principal        | Approved | 04/25/2018 |
| <b>B</b> Nasdaq ISE, LLC         | Securities Trader                   | Approved | 04/25/2018 |
| <b>B</b> Nasdaq ISE, LLC         | General Securities Sales Supervisor | Approved | 10/01/2018 |
| <b>B</b> Nasdaq MRX, LLC         | General Securities Representative   | Approved | 04/25/2018 |
| <b>B</b> Nasdaq MRX, LLC         | Registered Options Principal        | Approved | 04/25/2018 |
| <b>B</b> Nasdaq MRX, LLC         | Securities Trader                   | Approved | 04/25/2018 |
| <b>B</b> Nasdaq MRX, LLC         | General Securities Sales Supervisor | Approved | 10/01/2018 |
| <b>B</b> Nasdaq PHLX LLC         | General Securities Representative   | Approved | 04/25/2018 |
| <b>B</b> Nasdaq PHLX LLC         | General Securities Sales Supervisor | Approved | 04/25/2018 |
| <b>B</b> Nasdaq PHLX LLC         | Registered Options Principal        | Approved | 04/25/2018 |
| <b>B</b> Nasdaq PHLX LLC         | Securities Trader                   | Approved | 04/25/2018 |
| <b>B</b> Nasdaq Stock Market     | General Securities Representative   | Approved | 04/25/2018 |
| <b>B</b> Nasdaq Stock Market     | General Securities Sales Supervisor | Approved | 04/25/2018 |
| <b>B</b> Nasdaq Stock Market     | Registered Options Principal        | Approved | 04/25/2018 |
| <b>B</b> Nasdaq Stock Market     | Securities Trader                   | Approved | 04/25/2018 |
| <b>B</b> New York Stock Exchange | General Securities Representative   | Approved | 04/25/2018 |
| <b>B</b> New York Stock Exchange | Securities Trader                   | Approved | 04/25/2018 |
| <b>B</b> New York Stock Exchange | General Securities Sales Supervisor | Approved | 10/01/2018 |

| U.S. State/ Territory | Category | Status   | Date       |
|-----------------------|----------|----------|------------|
| <b>B</b> New Jersey   | Agent    | Approved | 04/25/2018 |



## Broker Qualifications



### Employment 1 of 1, continued

#### Branch Office Locations

##### **WELLS FARGO SECURITIES, LLC**

194 S Wood Ave  
Iselin, NJ 08830

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## 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, 7 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

| Exam                                                                                       | Category  | Date       |
|--------------------------------------------------------------------------------------------|-----------|------------|
| <b>B</b> General Securities Sales Supervisor - General Module Examination                  | Series 10 | 01/02/2023 |
| <b>B</b> General Securities Sales Supervisor - Options Module Examination                  | Series 9  | 01/02/2023 |
| <b>B</b> Registered Options Principal Examination                                          | Series 4  | 05/03/1993 |
| <b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module) | Series 8  | 09/17/1991 |

### General Industry/Product Exams

| Exam                                                              | Category    | Date       |
|-------------------------------------------------------------------|-------------|------------|
| <b>B</b> Investment Banking Registered Representative Examination | Series 79TO | 01/02/2023 |
| <b>B</b> Operations Professional Examination                      | Series 99TO | 01/02/2023 |
| <b>B</b> Securities Trader Exam                                   | Series 57TO | 01/02/2023 |
| <b>B</b> Government Securities Representative Examination         | Series 72   | 01/02/2023 |
| <b>B</b> Securities Industry Essentials Examination               | SIE         | 10/01/2018 |
| <b>B</b> Limited Representative-Equity Trader Exam                | Series 55   | 12/17/2010 |
| <b>B</b> General Securities Representative Examination            | Series 7    | 12/17/1988 |

### State Securities Law Exams

| Exam                                                    | Category  | Date       |
|---------------------------------------------------------|-----------|------------|
| <b>B</b> Uniform Securities Agent State Law Examination | Series 63 | 01/18/1989 |

## Broker Qualifications



### Industry Exams this Broker has Passed, continued

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/](http://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>B</b> 02/2016 - 04/2018 | MORGAN STANLEY & CO. LLC           | 8209  | NEW YORK, NY      |
| <b>B</b> 07/2014 - 01/2016 | HSBC SECURITIES (USA) INC.         | 19585 | NEW YORK CITY, NY |
| <b>B</b> 10/2008 - 03/2014 | J.P. MORGAN SECURITIES LLC         | 79    | NEW YORK, NY      |
| <b>B</b> 03/2007 - 10/2008 | J.P. MORGAN SECURITIES INC.        | 18718 | NEW YORK, NY      |
| <b>B</b> 12/2005 - 04/2007 | DEUTSCHE BANK SECURITIES INC.      | 2525  | NEW YORK, NY      |
| <b>B</b> 07/2001 - 11/2005 | J.P. MORGAN SECURITIES INC.        | 18718 | NEW YORK, NY      |
| <b>B</b> 01/2001 - 07/2001 | SALOMON SMITH BARNEY INC.          | 7059  | NEW YORK, NY      |
| <b>B</b> 05/1996 - 07/2001 | PRUDENTIAL SECURITIES INCORPORATED | 7471  | NEW YORK, NY      |
| <b>B</b> 01/1996 - 04/1996 | PAINWEBBER INCORPORATED            | 8174  | WEEHAWKEN, NJ     |
| <b>B</b> 02/1995 - 10/1995 | BEAR, STEARNS SECURITIES CORP.     | 28432 | BROOKLYN, NY      |
| <b>B</b> 02/1995 - 10/1995 | BEAR, STEARNS & CO. INC.           | 79    | NEW YORK, NY      |
| <b>B</b> 06/1991 - 02/1995 | PRUDENTIAL SECURITIES INCORPORATED | 7471  | NEW YORK, NY      |
| <b>B</b> 12/1988 - 01/1990 | BEAR, STEARNS & CO. INC.           | 79    | NEW YORK, NY      |

### 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           |
|-------------------|------------------------------------|------------------|--------------------|-----------------------------|
| 03/2018 - Present | Wells Fargo Bank, NA               | Ent Testing Ofcr | Y                  | New York, NY, United States |
| 03/2018 - Present | Wells Fargo Securities, LLC        | Ent Testing Ofcr | Y                  | New York, NY, United States |
| 03/2017 - 03/2018 | Morgan Stanley Services Group Inc. | Vice President   | Y                  | New York, NY, United States |



## Registration and Employment History

### Employment History, continued

| Employment        | Employer Name              | Position                           | Investment Related | Employer Location              |
|-------------------|----------------------------|------------------------------------|--------------------|--------------------------------|
| 01/2016 - 03/2018 | Morgan Stanley & Co. LLC   | Vice President                     | Y                  | New York, NY, United States    |
| 03/2014 - 01/2016 | HSBC SECURITIES (USA) INC. | COMPLIANCE<br>ASSURANCE<br>MANAGER | Y                  | NEW YORK, NY, United<br>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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