BrokerCheck Report

KAM POI YEE

CRD# 2393601

Section Title	Page(s)

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.

KAM P. YEE

CRD# 2393601

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

IA **WELLS FARGO ADVISORS**
535 MADISON AVE 16TH FL
NEW YORK, NY 10022
CRD# 19616
Registered with this firm since: 12/01/2011

B **WELLS FARGO CLEARING SERVICES, LLC**
535 MADISON AVE 16TH FL
NEW YORK, NY 10022
CRD# 19616
Registered with this firm since: 11/30/2011

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:

- 6 Self-Regulatory Organizations
- 25 U.S. states and territories

This broker has passed:

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

Registration History

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

B **UBS FINANCIAL SERVICES INC.**
CRD# 8174
PARAMUS, NJ
07/2008 - 09/2011

B **WACHOVIA SECURITIES, LLC**
CRD# 19616
NEW YORK, NY
07/2003 - 07/2008

B **PRUDENTIAL SECURITIES INCORPORATED**
CRD# 7471
NEW YORK, NY
11/1998 - 07/2003

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
Regulatory Event	1
Termination	1

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 6 SROs and is licensed in 25 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 Exchange, Inc.	General Securities Representative	Approved	11/19/2021
B	FINRA	General Securities Representative	Approved	06/27/2014
B	NYSE American LLC	General Securities Representative	Approved	11/30/2011
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/30/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	11/30/2011
B	New York Stock Exchange	General Securities Representative	Approved	11/30/2011

	U.S. State/ Territory	Category	Status	Date
B	Arkansas	Agent	Approved	09/03/2015
B	California	Agent	Approved	12/01/2011
B	Connecticut	Agent	Approved	01/19/2012
B	Delaware	Agent	Approved	12/01/2011
B	District of Columbia	Agent	Approved	01/10/2012
B	Florida	Agent	Approved	04/23/2012
B	Georgia	Agent	Approved	09/24/2014

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	12/01/2011
B	Kentucky	Agent	Approved	01/11/2012
B	Louisiana	Agent	Approved	02/08/2012
B	Maryland	Agent	Approved	01/12/2012
B	Massachusetts	Agent	Approved	03/26/2012
B	Michigan	Agent	Approved	09/26/2014
B	Minnesota	Agent	Approved	09/26/2014
B	Nevada	Agent	Restricted Approval	07/24/2015
B	New Jersey	Agent	Approved	01/11/2012
B	New York	Agent	Approved	12/01/2011
B	North Carolina	Agent	Approved	01/30/2012
B	Oklahoma	Agent	Approved	01/12/2012
B	Pennsylvania	Agent	Approved	12/01/2011
B	Rhode Island	Agent	Approved	12/01/2011
B	South Carolina	Agent	Approved	10/02/2014
B	Texas	Agent	Approved	01/27/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	12/01/2011
B	Vermont	Agent	Approved	02/03/2012
B	Virginia	Agent	Approved	12/01/2011

Branch Office Locations

Broker Qualifications

Employment 1 of 1, continued

WELLS FARGO CLEARING SERVICES, LLC
535 MADISON AVE 16TH FL
NEW YORK, NY 10022

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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

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	General Securities Representative Examination	Series 7	12/13/1994

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	12/22/1994

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	07/2008 - 09/2011	UBS FINANCIAL SERVICES INC.	8174	PARAMUS, NJ
B	07/2003 - 07/2008	WACHOVIA SECURITIES, LLC	19616	NEW YORK, NY
B	11/1998 - 07/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B	06/1998 - 07/1998	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
B	05/1998 - 05/1998	JESUP & LAMONT SECURITIES CORPORATION	17833	NEW YORK, NY
B	12/1994 - 04/1998	D. H. BLAIR & CO., INC.	6833	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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
11/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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.

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
Regulatory Event	0	1	0
Termination	N/A	1	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/01/2013
Docket/Case Number:	2011029227701
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES, INC.
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULE 3110: YEE PROCESSED A WIRE TRANSFER REQUEST THAT SHE THOUGHT HAD BEEN SENT BY A CUSTOMER. IN ACTUALITY, THE REQUEST WAS FROM AN IMPOSTER. IN ORDER TO PROCESS THE WIRE TRANSFER, YEE FALSELY ATTESTED ON A FORM THAT SHE HAD SPOKEN WITH THE CUSTOMER TO CONFIRM THE WIRE TRANSFER INSTRUCTIONS, THE CUSTOMER'S IDENTITY, AND THE CUSTOMER'S AUTHORITY TO REQUEST THE TRANSFER. YEE'S FALSE ATTESTATION ALSO CAUSED HER MEMBER FIRM'S BOOKS AND RECORDS TO BE INACCURATE.
Current Status:	Final

Action Appealed To:	SRO
Date Appeal filed:	02/14/2014
Appeal Limitation Details:	
Resolution:	Decision
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/10/2014
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	10 BUSINESS DAYS
Start Date:	06/16/2014
End Date:	06/27/2014

Monetary Sanction 1 of 2	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$2,231.67
Portion Levied against individual:	$2,231.67
Payment Plan:	DEFERRED
Is Payment Plan Current:	
Date Paid by individual:	06/06/2014
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	DEFERRED
Is Payment Plan Current:	
Date Paid by individual:	06/06/2014
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	HEARING PANEL DECISION RENDERED JANUARY 21, 2014 WHEREIN YEE IS FINED $7,500, SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS, AND ORDERED TO PAY COSTS IN THE AMOUNT OF $2,231.67. THE FINE AND COSTS SHALL BE DUE AND PAYABLE ON YEE'S RETURN TO THE SECURITIES INDUSTRY. ON FEBRUARY 14, 2014, YEE APPEALED THE DECISION TO THE NATIONAL ADJUDICATORY COUNCIL (NAC). THE SANCTIONS ARE NOT IN EFFECT PENDING CONSIDERATION OF THE APPEAL. YEE REQUESTED HER APPEAL BE WITHDRAWN. THE DECISION IS FINAL APRIL 10, 2014. FINE AND COSTS PAID JUNE 6, 2014.

Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/01/2013
Docket/Case Number:	2011029227701
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES, INC.
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULE 3110: YEE PROCESSED A WIRE TRANSFER REQUEST THAT SHE THOUGHT HAD BEEN SENT BY A CUSTOMER. IN ACTUALITY, THE REQUEST WAS FROM AN IMPOSTER. IN ORDER TO PROCESS THE WIRE TRANSFER, YEE FALSELY ATTESTED ON A FORM THAT SHE HAD SPOKEN WITH THE CUSTOMER TO CONFIRM THE WIRE TRANSFER INSTRUCTIONS, THE CUSTOMER'S IDENTITY, AND THE CUSTOMER'S AUTHORITY TO REQUEST THE TRANSFER. YEE'S FALSE ATTESTATION ALSO CAUSED HER MEMBER FIRM'S BOOKS AND RECORDS TO BE INACCURATE.
Current Status:	Final
Action Appealed To:	SRO
Date Appeal filed:	02/14/2014
Appeal Limitation Details:	
Resolution:	Decision
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/10/2014
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines Suspension

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	10 BUSINESS DAYS
Start Date:	06/16/2014
End Date:	06/27/2014
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$2,231.67
Portion Levied against individual:	$2,231.67
Payment Plan:	DEFERRED
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	DEFERRED
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	HEARING PANEL DECISION RENDERED JANUARY 21, 2014 WHEREIN YEE IS FINED $7,500, SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS, AND ORDERED TO PAY COSTS

IN THE AMOUNT OF $2,231.67. THE FINE AND COSTS SHALL BE DUE AND PAYABLE ON YEE'S RETURN TO THE SECURITIES INDUSTRY. ON FEBRUARY 14, 2014, YEE APPEALED THE DECISION TO THE NATIONAL ADJUDICATORY COUNCIL (NAC). THE SANCTIONS ARE NOT IN EFFECT PENDING CONSIDERATION OF THE APPEAL. YEE REQUESTED HER APPEAL BE WITHDRAWN. THE DECISION IS FINAL APRIL 10, 2014.

Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	UBS FINANCIAL SERVICES INC.
Termination Type:	Discharged
Termination Date:	08/05/2011
Allegations:	MS. YEE'S EMPLOYMENT WAS TERMINATED AFTER THE FIRM LEARNED THAT SHE HAD INACCURATELY ENTERED ONTO THE FIRM'S RECORDS THAT SHE HAD VERBALLY CONFIRMED WITH A CLIENT THE CLIENT'S AUTHORIZATION TO TRANSFER FUNDS TO A THIRD PARTY.
Product Type:	No Product

Reporting Source:	Broker
Employer Name:	UBS
Termination Type:	Discharged
Termination Date:	08/05/2011
Allegations:	MS YEE'S EMPLOYMENT WAS TERMINATED AFTER THE FIRM LEARNED THAT SHE HAD INACCURATELY ENTERED ONTP THE FIRM'S RECORDS THAT SHE HAD VERBALLY CONFIRMED WITH A CLIENT THE CLIENT'S AUTHORIZATION TO TRANSFER FUNDS TO A THIRD PARTY.
Product Type:	No Product

End of Report

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