

BrokerCheck Report

TODD ELLIOT HARRIS

CRD# 2623246

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8
Disclosure Events	9



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



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.

**TODD E. HARRIS**

CRD# 2623246

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

B WELLS FARGO CLEARING SERVICES, LLC

161 E RIVULON BLVD
2ND FLOOR, SUITE 201
GILBERT, AZ 85297
CRD# 19616

Registered with this firm since: 09/03/2024

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
- 30 U.S. states and territories

This broker has passed:

- 3 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 AMERIPRISE FINANCIAL SERVICES, LLC

CRD# 6363
Gilbert, AZ
05/2020 - 09/2024

B COUNTRY CAPITAL MANAGEMENT COMPANY

CRD# 12060
Gilbert, AZ
04/2009 - 05/2020

B UBS FINANCIAL SERVICES INC.

CRD# 8174
WEEHAWKEN, NJ
05/2004 - 03/2006

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
Customer Dispute	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 11 SROs and is licensed in 30 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 Principal	Approved	09/03/2024
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/03/2024
B	Cboe Exchange, Inc.	General Securities Principal	Approved	09/03/2024
B	Cboe Exchange, Inc.	General Securities Representative	Approved	09/03/2024
B	FINRA	General Securities Principal	Approved	09/03/2024
B	FINRA	General Securities Representative	Approved	09/03/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	09/03/2024
B	NYSE American LLC	General Securities Principal	Approved	09/03/2024
B	NYSE American LLC	General Securities Representative	Approved	09/03/2024
B	NYSE Arca, Inc.	General Securities Principal	Approved	09/03/2024
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/03/2024
B	NYSE Texas, Inc.	General Securities Principal	Approved	09/03/2024
B	NYSE Texas, Inc.	General Securities Representative	Approved	09/03/2024
B	Nasdaq GEMX, LLC	General Securities Principal	Approved	09/03/2024
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	09/03/2024

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq ISE, LLC	General Securities Principal	Approved	09/03/2024
B Nasdaq ISE, LLC	General Securities Representative	Approved	09/03/2024
B Nasdaq PHLX LLC	General Securities Principal	Approved	09/03/2024
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/03/2024
B Nasdaq Stock Market	General Securities Principal	Approved	09/03/2024
B Nasdaq Stock Market	General Securities Representative	Approved	09/03/2024
B New York Stock Exchange	General Securities Principal	Approved	09/03/2024
B New York Stock Exchange	General Securities Representative	Approved	09/03/2024

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	09/03/2024
B Arizona	Agent	Approved	09/03/2024
B California	Agent	Approved	09/03/2024
B Colorado	Agent	Approved	09/03/2024
B Florida	Agent	Approved	04/04/2025
B Georgia	Agent	Approved	09/03/2024
B Idaho	Agent	Approved	09/03/2024
B Illinois	Agent	Approved	09/03/2024
B Indiana	Agent	Approved	09/03/2024
B Iowa	Agent	Approved	09/03/2024
B Kansas	Agent	Approved	09/03/2024
B Louisiana	Agent	Approved	09/03/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Maine	Agent	Approved	09/03/2024
B	Michigan	Agent	Approved	09/03/2024
B	Minnesota	Agent	Approved	09/03/2024
B	Missouri	Agent	Approved	09/03/2024
B	Nevada	Agent	Approved	09/03/2024
B	New Mexico	Agent	Approved	09/03/2024
B	New York	Agent	Approved	09/03/2024
B	North Carolina	Agent	Approved	09/03/2024
B	Ohio	Agent	Approved	09/03/2024
B	Oregon	Agent	Approved	09/03/2024
B	Pennsylvania	Agent	Approved	09/03/2024
B	South Carolina	Agent	Approved	09/03/2024
B	South Dakota	Agent	Approved	09/03/2024
B	Tennessee	Agent	Approved	09/06/2024
B	Texas	Agent	Approved	09/03/2024
B	Virginia	Agent	Approved	04/25/2025
B	Washington	Agent	Approved	09/03/2024
B	Wisconsin	Agent	Approved	09/03/2024

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC
161 E RIVULON BLVD

Broker Qualifications



Employment 1 of 1, continued

2ND FLOOR, SUITE 201
GILBERT, AZ 85297



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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	01/06/2023
B General Securities Sales Supervisor - Options Module Examination	Series 9	08/06/2004
B General Securities Sales Supervisor - General Module Examination	Series 10	08/02/2004

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	06/02/2020
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	04/13/2009
B General Securities Representative Examination	Series 7	01/15/2001

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	04/20/2009
B IA Uniform Combined State Law Examination	Series 66	01/29/2001

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 05/2020 - 09/2024	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Gilbert, AZ
B 04/2009 - 05/2020	COUNTRY CAPITAL MANAGEMENT COMPANY	12060	Gilbert, AZ
B 05/2004 - 03/2006	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ
IA 05/2004 - 03/2006	UBS FINANCIAL SERVICES INC.	8174	SCOTTSDALE, AZ
IA 02/2001 - 05/2004	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	PHOENIX, AZ
B 01/2001 - 05/2004	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	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
08/2024 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	GILBERT, AZ, United States
05/2020 - 08/2024	Ameriprise Financial Services, LLC.	Registered Rep	Y	Gilbert, AZ, United States
03/2009 - 05/2020	COUNTRY FINANCIAL	AGENT	Y	SCOTTSDALE, AZ, 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.
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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.
 -
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
Customer Dispute	0	1	N/A
Termination	N/A	1	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.

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:	NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/25/2007
Docket/Case Number:	HDB# 07-108
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	
Allegations:	<p>**6/25/07**STIPULATION OF FACTS AND CONSENT TO PENALTY FILED WITH NYSE REGULATION'S DIVISION OF ENFORCEMENT AND PENDING CONSENTED TO FINDINGS THAT: WITHOUT ADMITTING OR DENYING GUILT, HARRIS CONSENTS TO FINDINGS THAT HE VIOLATED: (1) VIOLATED NYSE RULE 408(A) IN THAT HE EXERCISED DISCRETIONARY POWER BY EFFECTING TRANSACTIONS IN THE ACCOUNTS OF NINE CUSTOMERS OF HIS MEMBER ORGANIZATION WITHOUT FIRST OBTAINING WRITTEN AUTHORITY OF THE CUSTOMERS.</p>



(2) VIOLATED NYSE RULE 408(B) IN THAT HE EXERCISED DISCRETIONARY POWER WITHOUT FIRST NOTIFYING AND OBTAINING THE APPROVAL OF ANOTHER PERSON DELEGATED UNDER NYSE RULE 342(B)(1) WITH AUTHORITY TO APPROVE THE HANDLING OF SUCH ACCOUNTS; AND (3) CAUSED A VIOLATION OF SECTION 17(A) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 17A-3 THEREUNDER, AND NYSE RULE 440 BY CAUSING HIS MEMBER FIRM EMPLOYER TO MAKE AND PRESERVE INACCURATE BOOKS AND RECORDS. STIPULATED SANCTION: CENSURE AND THREE-MONTH BAR FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY MEMBER OR MEMBER ORGANIZATION.

Current Status: Final

Resolution: Decision

Resolution Date: 08/16/2007

Sanctions Ordered: Bar
Censure

Other Sanctions Ordered: CONSENT TO CENSURE AND THREE-MONTH BAR.

Sanction Details: **8/16/07** DECISION 07-108 ISSUED BY NYSE HEARING BOARD
DECISION: HARRIS CONSENTED TO FINDINGS THAT HE VIOLATED:
1. NYSE RULE 408(A) BY EFFECTING TRANSACTIONS IN CUSTOMER ACCOUNTS WITHOUT FIRST OBTAINING WRITTEN AUTHORITY OF CUSTOMERS; 2. NYSE RULE 408(B) BY FAILING TO FIRST NOTIFY AND OBTAIN APPROVAL OF PERSON DELEGATED UNDER NYSE RULE 342(B)(1) WITH AUTHORITY TO APPROVE HANDLING OF SUCH ACCOUNTS; 3. CAUSED A VIOLATION OF SECTION 17(A) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 17A-3 THEREUNDER, AND NYSE RULE 440 BY CAUSING MEMBER FIRM EMPLOYER TO MAKE AND PRESERVE INACCURATE BOOKS AND RECORDS. SANCTION: HARRIS RECEIVED A CENSURE AND THREE-MONTH BAR.

Regulator Statement **8/16/07** THE DECISION BECAME FINAL AS OF THE CLOSE OF BUSINESS ON AUGUST 14, 2007. CONTACT: PEGGY GERMINO 212-656-8450.

Reporting Source: Broker

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Sanction(s) Sought: Censure

Other Sanction(s) Sought:



Date Initiated: 06/25/2007

Docket/Case Number: HDB# 07-108

Employing firm when activity occurred which led to the regulatory action:

Product Type: Other

Other Product Type(s):

Allegations: **6/25/07**STIPULATION OF FACTS AND CONSENT TO PENALTY FILED WITH NYSE REGULATION'SDIVISION OF ENFORCEMENT AND PENDINGCONSENTED TO FINDINGSTHAT:WITHOUT ADMITTING OR DENYING GUILT, HARRIS CONSENTS TO FINDINGS THAT HE VIOLATED: (1)VIOLATED NYSE RULE 408(A) IN THAT HE EXERCISED DISCRETIONARY POWER BY EFFECTING TRANSACTIONS IN THE ACCOUNTS OF NINE CUSTOMERS OF HIS MEMBER ORGANIZATION WITHOUT FIRST OBTAINING WRITTEN AUTHORITY OF THE CUSTOMERS. (2)VIOLATED NYSE RULE 408(B) IN THAT HE EXERCISED DISCRETIONARY POWER WITHOUT FIRST NOTIFYING AND OBTAINING THE APPROVAL OF ANOTHER PERSON DELEGATED UNDER NYSE RULE 342(B)(1) WITH AUTHORITY TO APPROVE THE HANDLING OF SUCH ACCOUNTS; AND(3)CAUSED A VIOLATION OF SECTION 17(A) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 17A-3 THEREUNDER, AND NYSE RULE 440 BY CAUSING HIS MEMBER FIRM EMPLOYER TO MAKE AND PRESERVE INACCURATE BOOKS AND RECORDS.STIPULATED SANCTION:CENSURE AND THREE-MONTH BAR FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS,AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY MEMBER OR MEMBER ORGANIZATION.

Current Status: Final

Resolution: Decision

Resolution Date: 08/16/2007

Sanctions Ordered: Bar
Censure

Other Sanctions Ordered: CONSENT TO CENSURE AND THREE MONTH BAR



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: MERRILL LYNCH, PIERCE, FENNER & SMITH INC

Allegations: CUSTOMERS ALLEGE FA ENGAGED IN UNAUTHORIZED TRANSACTIONS ON THEIR BEHALF.

Product Type: Mutual Fund(s)

Alleged Damages: \$19,604.00

Customer Complaint Information

Date Complaint Received: 10/07/2003

Complaint Pending? No

Status: Closed/No Action

Status Date: 04/27/2004

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CUSTOMERS ALLEGE FA ENGAGED IN UNAUTHORIZED TRANSACTIONS ON THEIR BEHALF.

Product Type: Mutual Fund(s)

Alleged Damages: \$19,604.00

Customer Complaint Information



Date Complaint Received:	10/07/2003
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	04/27/2004
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	MERRILL LYNCH IS INVESTIGATING THE ALLEGATIONS SET FORTH IN CUSTOMERS' COMPLAINT.



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: 02/28/2006

Allegations: FINANCIAL ADVISOR EXERCISED DISCRETION WITHOUT WRITTEN AUTHORIZATION FROM CLIENTS AND ENTERED INACCURATE INFORMATION ON FIRM ORDER SYSTEM.

Product Type: Other

Other Product Types: NON/APPLICABLE

Reporting Source: Broker

Employer Name: UBS FINANCIAL SERVICES INC.

Termination Type: Discharged

Termination Date: 02/28/2006

Allegations: FINANCIAL ADVISOR EXERCISED DISCRETION WITHOUT WRITTEN AUTHORIZATION FROM CLIENTS AND ENTERED INACCURATE INFORMATION ON FIRM ORDER SYSTEM

Product Type: Other

Other Product Types:

End of Report



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