BrokerCheck Report

JONATHAN GRAHAM

CRD# 2766840

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.

JONATHAN GRAHAM

CRD# 2766840

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

IA **WELLS FARGO ADVISORS**
1504 EUREKA RD
STE 300
ROSEVILLE, CA 95661
CRD# 19616
Registered with this firm since: 08/19/2021

B **WELLS FARGO CLEARING SERVICES, LLC**
1504 EUREKA RD
STE 300
ROSEVILLE, CA 95661
CRD# 19616
Registered with this firm since: 08/19/2021

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
- 6 U.S. states and territories

This broker has passed:

- 5 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 **PRUCO SECURITIES, LLC.**
CRD# 5685
BELLEVUE, WA
05/2021 - 08/2021

IA **PRUDENTIAL FINANCIAL PLANNING SERVICES**
CRD# 5685
NEWARK, NJ
05/2021 - 08/2021

B **WADDELL & REED**
CRD# 866
LAS VEGAS, NV
09/2019 - 05/2021

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

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 6 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	08/19/2021
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	08/19/2021
B	Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	08/19/2021
B	Cboe Exchange, Inc.	General Securities Principal	Approved	08/19/2021
B	Cboe Exchange, Inc.	General Securities Representative	Approved	08/19/2021
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	08/19/2021
B	Cboe Exchange, Inc.	Registered Options Principal	Approved	08/19/2021
B	FINRA	General Securities Principal	Approved	08/19/2021
B	FINRA	General Securities Representative	Approved	08/19/2021
B	FINRA	General Securities Sales Supervisor	Approved	08/19/2021
B	FINRA	Municipal Securities Principal	Approved	08/19/2021
B	FINRA	Municipal Securities Representative	Approved	08/19/2021
B	FINRA	Registered Options Principal	Approved	08/19/2021
B	NYSE American LLC	General Securities Principal	Approved	08/19/2021
B	NYSE American LLC	General Securities Representative	Approved	08/19/2021

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	NYSE American LLC	General Securities Sales Supervisor	Approved	08/19/2021
B	NYSE American LLC	Municipal Securities Principal	Approved	08/19/2021
B	NYSE American LLC	Municipal Securities Representative	Approved	08/19/2021
B	NYSE American LLC	Registered Options Principal	Approved	08/19/2021
B	NYSE Arca, Inc.	General Securities Principal	Approved	08/19/2021
B	NYSE Arca, Inc.	General Securities Representative	Approved	08/19/2021
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	08/19/2021
B	NYSE Arca, Inc.	Registered Options Principal	Approved	08/19/2021
B	NYSE Texas, Inc.	General Securities Principal	Approved	08/19/2021
B	NYSE Texas, Inc.	General Securities Representative	Approved	08/19/2021
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	08/19/2021
B	Nasdaq GEMX, LLC	General Securities Principal	Approved	08/19/2021
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	08/19/2021
B	Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	08/19/2021
B	Nasdaq GEMX, LLC	Registered Options Principal	Approved	08/19/2021
B	Nasdaq ISE, LLC	General Securities Principal	Approved	08/19/2021
B	Nasdaq ISE, LLC	General Securities Representative	Approved	08/19/2021
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	08/19/2021
B	Nasdaq ISE, LLC	Registered Options Principal	Approved	08/19/2021
B	Nasdaq PHLX LLC	General Securities Principal	Approved	08/19/2021
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/19/2021
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	08/19/2021

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Nasdaq PHLX LLC	Registered Options Principal	Approved	08/19/2021
B	Nasdaq Stock Market	General Securities Principal	Approved	08/19/2021
B	Nasdaq Stock Market	General Securities Representative	Approved	08/19/2021
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	08/19/2021
B	Nasdaq Stock Market	Registered Options Principal	Approved	08/19/2021
B	New York Stock Exchange	General Securities Principal	Approved	08/19/2021
B	New York Stock Exchange	General Securities Representative	Approved	08/19/2021
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	08/19/2021
B	New York Stock Exchange	Municipal Securities Principal	Approved	08/19/2021
B	New York Stock Exchange	Municipal Securities Representative	Approved	08/19/2021

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	10/11/2022
B	Arkansas	Agent	Approved	08/23/2021
B	California	Agent	Approved	08/19/2021
IA	California	Investment Adviser Representative	Approved	08/19/2021
B	Massachusetts	Agent	Approved	10/12/2021
B	Utah	Agent	Approved	08/23/2021
B	Washington	Agent	Approved	10/10/2022

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC
1504 EUREKA RD

Broker Qualifications

Employment 1 of 1, continued

STE 300
ROSEVILLE, CA 95661

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B	Registered Options Principal Examination	Series 4	11/23/2011
B	Municipal Securities Principal Examination	Series 53	04/29/2010
B	General Securities Principal Examination	Series 24	02/16/2010

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	06/30/2008

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	05/30/2008
B	Uniform Securities Agent State Law Examination	Series 63	12/13/1999

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).

Chartered Financial Consultant

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	05/2021 - 08/2021	PRUCO SECURITIES, LLC.	5685	BELLEVUE, WA
IA	05/2021 - 08/2021	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	BELLEVUE, WA
B	09/2019 - 05/2021	WADDELL & REED	866	LAS VEGAS, NV
IA	09/2019 - 05/2021	WADDELL & REED	866	LAS VEGAS, NV
B	04/2016 - 12/2018	LEUMI INVESTMENT SERVICES INC.	105387	Los Angeles, CA
IA	04/2016 - 12/2018	LEUMI INVESTMENT SERVICES INC.	105387	Los Angeles, CA
B	10/2012 - 04/2016	J.P. MORGAN SECURITIES LLC	79	CALABASAS, CA
IA	10/2012 - 04/2016	J.P. MORGAN SECURITIES LLC	79	LOS ANGELES, CA
B	05/2009 - 10/2012	CHASE INVESTMENT SERVICES CORP.	25574	SAN LUIS OBISPO, CA
IA	05/2009 - 10/2012	CHASE INVESTMENT SERVICES CORP.	25574	SAN LUIS OBISPO, CA
IA	10/2008 - 04/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	PASADENA, CA
B	09/2008 - 04/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	PASADENA, CA
B	07/2008 - 09/2008	COUNTRYWIDE INVESTMENT SERVICES, INC.	103919	ENCINO, CA
B	09/2003 - 04/2005	BROKER DEALER FINANCIAL SERVICES CORP.	8073	WEST DES MOINES, IA
B	01/2003 - 09/2003	CHICAGO INVESTMENT GROUP, LLC	11853	CHICAGO, IL
B	01/2002 - 01/2003	WACHOVIA SECURITIES, INC.	19616	ST. LOUIS, MO
B	06/2001 - 01/2002	WM FINANCIAL SERVICES, INC.	599	IRVINE, CA
B	12/1999 - 10/2000	FIRST UNION SECURITIES, INC.	19616	ST. LOUIS, MO

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
08/2021 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SACRAMENTO, CA, United States
05/2021 - 08/2021	Pruco Securities LLC	Supervisory Principal	Y	Bellevue, WA, United States
05/2021 - 08/2021	The Prudential Insurance Company of America	Managing Director	N	Bellevue, WA, United States
09/2019 - 05/2021	Waddell & Reed, Inc	Associated Person	Y	Sherman Oaks, CA, United States
12/2018 - 09/2019	Unemployed	Unemployed	N	Camarillo, CA, United States
04/2016 - 12/2018	Leumi Investment Services Inc	Regional Head	Y	New York, NY, United States
10/2012 - 04/2016	JP Morgan Securities LLC	Market Director	Y	Tarzana, CA, 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.

FIVE ONE HOLDINGS LLC, INV RELATED, ROCKLIN, CA, 100% OWNERSHIP WITH SPOUSE, START 6/8/2022, 1 HOUR PER MONTH, ZERO HOURS DURING TRADING, FUTURE HOLDINGS IN LONG TERM REAL ESTATE. |
RENTAL PROPERTY, INVT RELATED, RAYMORE, MO, 100% OWNERSHIP, START DATE 11/30/2022, 1 HR PER MONTH, 0 HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, RAYMORE, MO, 100% OWNERSHIP, START DATE 11/30/2022, 1 HR PER MONTH, 0 HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, RAYMORE, MO, 100% OWNERSHIP, START DATE 11/30/2022, 1 HR PER MONTH, 0 HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, RAYMORE, MO, 100% OWNERSHIP, START DATE 11/30/2022, 1 HR PER MONTH, 0 HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, RAYMORE, MO, 100% OWNERSHIP, START DATE 11/30/2022, 1 HR PER MONTH, 0 HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, RAYMORE, MO, 100% OWNERSHIP, START DATE 11/30/2022, 1 HR PER MONTH, 0 HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, RAYMORE, MO, 100% OWNERSHIP, START DATE 11/30/2022, 1 HR PER MONTH, 0 HRS DURING

Registration and Employment History

Other Business Activities, continued

TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, RAYMORE, MO, 100% OWNERSHIP, START DATE 11/30/2022, 1 HR PER MONTH, 0 HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, WICHITA, KS, 100% OWNERSHIP, START DATE 4/28/2023, 5 HRS PER MONTH, 0 HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, WICHITA, KS, 100% OWNERSHIP, START DATE 4/28/2023, 5 HRS PER MONTH, 0 HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, KANSAS CITY, MO, 100% OWNERSHIP, START DATE 4/28/2023, 5 HRS PER MONTH, 0 HRS DURING TRADING, OWNER. |
RENTAL PROPERTY, INVT RELATED, BELTON, MO, 100% OWNERSHIP, START DATE 4/28/2023, 5 HRS PER MONTH, 0 HRS DURING TRADING, OWNER. |
RENTAL PROPERTY ; INV RELATED; 100% OWNERSHIP; BLUE SPRINGS, MI; START 07/15/2023; 5 HOURS PER MONTH; 0 HOURS DURING TRADING; LANDLORD. |
RENTAL PROPERTY ; INV RELATED; 100% OWNERSHIP; BLUE SPRINGS, MI; START 07/15/2023; 5 HOURS PER MONTH; 0 HOURS DURING TRADING; LANDLORD. |
RENTAL PROPERTY; INV RELATED; 100% OWNERSHIP; TRUCKEE, CA; START 01/31/2025; 2 HOURS PER MONTH; 0 HOURS DURING TRADING; OWNER

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

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:	Broker
Regulatory Action Initiated By:	New York Department of Financial Services
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	09/21/2017
Docket/Case Number:	CSB-2017-1193858
Employing firm when activity occurred which led to the regulatory action:	Leumi Investment Services Inc.
Product Type:	Insurance
Allegations:	Mr. Graham was alleged to have signed-off, as sub-licensee, on an application prepared by Leumi Investment Services Inc. that contained incorrect information within the meaning of Section 2110(a)(2) of the New York Insurance Law.
Current Status:	Final
Resolution:	Stipulation and Consent

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:	04/23/2018
Sanctions Ordered:	Monetary Penalty other than Fines
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$1,500.00
Portion Levied against individual:	$0.00
Payment Plan:	Payment in full
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Mr. Graham as a sub-licensee signed a Property and Casualty insurance application to the New York State Department of Financial Services on behalf of Leumi Investment Services Inc. The application had been prepared by Leumi Investment Services Inc. Unbeknownst to Mr. Graham, the application contained incomplete information, which Mr. Graham reasonably relied upon when he signed such application.

End of Report

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