

BrokerCheck Report

CHRISTOPHER D STODDARD

CRD# 2773797

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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



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.

**CHRISTOPHER D. STODDARD**

CRD# 2773797

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

IA STIFEL, NICOLAUS & COMPANY, INCORPORATED
 18 MAIN STREET EXTENSION
 SUITE 303
 PLYMOUTH, MA 02360
 CRD# 793
 Registered with this firm since: 03/08/2017

B STIFEL, NICOLAUS & COMPANY, INCORPORATED
 18 MAIN STREET EXTENSION
 SUITE 303
 PLYMOUTH, MA 02360
 CRD# 793
 Registered with this firm since: 12/15/2016

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
- 9 U.S. states and territories

This broker has passed:

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

Registration History

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

- B WELLS FARGO ADVISORS, LLC**
 CRD# 19616
 NORWELL, MA
 09/2016 - 11/2016
- IA WELLS FARGO ADVISORS, LLC**
 CRD# 19616
 ST. LOUIS, MO
 09/2016 - 11/2016
- IA MORGAN STANLEY**
 CRD# 149777
 PURCHASE, NY
 06/2009 - 09/2016

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	3
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 9 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**

Main Office Address: **501 NORTH BROADWAY
ST. LOUIS, MO 63102**

Firm CRD#: **793**

	SRO	Category	Status	Date
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	12/15/2016
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/17/2025
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	09/17/2025
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/17/2025
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	09/17/2025
B	FINRA	General Securities Representative	Approved	12/15/2016
B	FINRA	General Securities Sales Supervisor	Approved	12/15/2016
B	Investors' Exchange LLC	General Securities Representative	Approved	09/17/2025
B	NYSE American LLC	General Securities Representative	Approved	12/15/2016
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	09/17/2025
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	09/17/2025
B	Nasdaq ISE, LLC	General Securities Representative	Approved	09/17/2025
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	09/17/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	12/15/2016



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	12/15/2016
B Nasdaq Stock Market	General Securities Representative	Approved	12/15/2016
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	12/15/2016
B New York Stock Exchange	General Securities Representative	Approved	12/15/2016
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	01/31/2017
B Florida	Agent	Approved	02/17/2017
B Massachusetts	Agent	Approved	01/13/2017
B New Hampshire	Agent	Approved	03/02/2017
IA New Jersey	Investment Adviser Representative	Approved	03/08/2017
B New York	Agent	Approved	12/15/2016
B Rhode Island	Agent	Approved	12/15/2016
B Texas	Agent	Approved	07/17/2017
IA Texas	Investment Adviser Representative	Restricted Approval	04/05/2017
B Vermont	Agent	Approved	09/16/2021

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED

18 MAIN STREET EXTENSION
SUITE 303
PLYMOUTH, MA 02360

STIFEL, NICOLAUS & COMPANY, INCORPORATED

Broker Qualifications



Employment 1 of 1, continued

NORWELL, MA



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - Options Module Examination	Series 9	10/05/2000
B General Securities Sales Supervisor - General Module Examination	Series 10	09/21/2000

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/26/1996

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/24/1997
B Uniform Securities Agent State Law Examination	Series 63	12/24/1997

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 09/2016 - 11/2016	WELLS FARGO ADVISORS, LLC	19616	NORWELL, MA
IA 09/2016 - 11/2016	WELLS FARGO ADVISORS, LLC	19616	NORWELL, MA
B 06/2009 - 09/2016	MORGAN STANLEY	149777	NORWELL, MA
IA 06/2009 - 09/2016	MORGAN STANLEY	149777	NORWELL, MA
IA 05/2002 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	HINGHAM, MA
B 09/1996 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	HINGHAM, MA

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
12/2016 - Present	Stifel Nicolaus & Co Inc	Financial Advisor	Y	Boston, MA, United States
09/2016 - 11/2016	Wells Fargo Advisors LLC	Registered Rep	Y	Norwell, MA, United States
01/2015 - 09/2016	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	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	3	0
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 3

Reporting Source:	Broker
Regulatory Action Initiated By:	California Department of Insurance
Sanction(s) Sought:	Suspension
Date Initiated:	05/09/2018
Docket/Case Number:	OBS 3241-AP
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY
Product Type:	No Product
Allegations:	As a result of the FINRA AWC, Fine and Suspension in 2017, The California Insurance commissioner suspended my Insurance license for 5 days beginning June 25, 2018.
Current Status:	Final
Resolution:	Order



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: 05/09/2018

Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All Capacities

Duration: 5 Days

Start Date: 06/25/2018

End Date: 06/29/2018

Disclosure 2 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: Massachusetts Securities Division

Sanction(s) Sought: Undertaking
Other: Consent Order

Date Initiated: 01/10/2018

Docket/Case Number: R-2017-0094

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action: Stifel, Nicolaus & Company

Product Type: No Product

Allegations: Stoddard has been continuously registered in Massachusetts as a BD agent of SNCI since January 13, 2017. FINRA instituted a regulatory action against Stoddard which resulted in FINRA and Stoddard entering into an Acceptance Waiver and Consent (an "AWC"). Without admitting or denying the findings, Stoddard consented to the sanctions and to the entry of findings that shortly before



he terminated his association with Morgan Stanley, Stoddard altered four of his clients' telephone numbers and email addresses in Morgan Stanley's client management database. The findings stated that although Stoddard separately provided Morgan Stanley with an accurate list of his customers' contact information, he changed four customers' contact information in Morgan Stanley's client management database in order to delay their ability to contact these customers before Stoddard could contact them. These changes were made without the knowledge or authorization of the clients and caused Morgan Stanley's books and records to be inaccurate. On August 16, 2017, FINRA and Stoddard entered into the AWC to resolve this matter. This resulted in a suspension for Stoddard from association with any FINRA member in any and all capacities for twenty (20) days and a \$5,000 fine. Stoddard served the suspension from September 18, 2017 to October 7, 2017.

Mass. Gen. Laws ch. 110 A, § 204(a)(2)(F)(ii) provides that the Division may revoke or suspend Stoddard's BD agent registration based on the above-mentioned FINRA suspension. The above-stated disclosure incidents against Stoddard have moved the Division to place conditions on his registrations as a BD agent of SNCI in Massachusetts.

Current Status:	Final
Resolution:	Consent Order
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:	01/10/2018
Sanctions Ordered:	Undertaking Other: Consent Order
Regulator Statement	In view of the foregoing, the Division determines that it is in the public interest to allow the continuation of Stoddard's registration in Massachusetts as an agent of SNCI upon the conditions set forth below. Stoddard shall be supervised, on a heightened basis by SNCI.

Reporting Source:	Broker
Regulatory Action Initiated By:	Massachusetts Securities Division
Sanction(s) Sought:	Undertaking Other: Consent Order



Date Initiated:	01/10/2018
Docket/Case Number:	R-2017-0094
Employing firm when activity occurred which led to the regulatory action:	STIFEL, NICOLAUS & COMPANY, INCORPORATED
Product Type:	No Product
Allegations:	<p>Stoddard has been continuously registered in Massachusetts as a BD agent of SNCI since January 13, 2017. FINRA instituted a regulatory action against Stoddard which resulted in FINRA and Stoddard entering into an Acceptance Waiver and Consent (an "AWC"). Without admitting or denying the findings, Stoddard consented to the sanctions and to the entry of findings that shortly before he terminated his association with Morgan Stanley, Stoddard altered four of his clients' telephone numbers and email addresses in Morgan Stanley's client management database. The findings stated that although Stoddard separately provided Morgan Stanley with an accurate list of his customers' contact information, he changed four customers' contact information in Morgan Stanley's client management database in order to delay their ability to contact these customers before Stoddard could contact them. These changes were made without the knowledge or authorization of the clients and caused Morgan Stanley's books and records to be inaccurate. On August 16, 2017, FINRA and Stoddard entered into the AWC to resolve this matter. This resulted in a suspension for Stoddard from association with any FINRA member in any and all capacities for twenty (20) days and a \$5,000 fine. Stoddard served the suspension from September 18, 2017 to October 7, 2017. Mass. Gen. Laws ch. 110 A, § 204(a)(2)(F)(ii) provides that the Division may revoke or suspend Stoddard's BD agent registration based on the above-mentioned FINRA suspension. The above-stated disclosure incidents against Stoddard have moved the Division to place conditions on his registrations as a BD agent of SNCI in Massachusetts.</p>
Current Status:	Final
Resolution:	Consent Order
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:	01/10/2018
Sanctions Ordered:	Undertaking



Other: Consent Order

Broker Statement

The Division continues Stoddard's registration in Massachusetts which started initially in 2005.

Disclosure 3 of 3**Reporting Source:**

Regulator

Regulatory Action Initiated By:

FINRA

Sanction(s) Sought:**Date Initiated:**

08/16/2017

Docket/Case Number:[2016051578601](#)**Employing firm when activity occurred which led to the regulatory action:**

Morgan Stanley

Product Type:

No Product

Allegations:

Without admitting or denying the findings, Stoddard consented to the sanctions and to the entry of findings that shortly before he terminated his association with a member firm, Stoddard altered four of his clients' telephone numbers and email addresses in the firm's client management database. The findings stated that although Stoddard separately provided the firm with an accurate list of his customers' contact information, he changed four customers' contact information in the firm's client management database in order to delay the firm's ability to contact the customers in question and thereby ensure Stoddard was able to speak with the customers before the firm. Stoddard changed the relevant contact information without the knowledge or authorization of the affected clients. As a result, Stoddard caused Morgan Stanley's books and records to be inaccurate.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

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:

08/16/2017


Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
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:	All capacities
Duration:	20 days
Start Date:	09/18/2017
End Date:	10/07/2017

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/05/2018
Was any portion of penalty waived?	No

Amount Waived:

Regulator Statement	Fines paid in full on May 5, 2018.
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Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	08/16/2017
Docket/Case Number:	2016051578601
Employing firm when activity occurred which led to the regulatory action:	Morgan Stanley
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Stoddard consented to the sanctions and to the entry of findings that shortly before he terminated his association with a member firm, Stoddard altered four of his clients' telephone numbers and email addresses in the firm's client management database. The findings stated that although Stoddard separately provided the firm with an accurate list of his customers' contact information, he changed four customers' contact information in the firm's client management database in order to delay the firm's ability to contact the customers in question and thereby ensure Stoddard was able to speak with the customers before the firm. Stoddard changed the relevant contact information without the knowledge or authorization of the affected clients. As a result, Stoddard caused Morgan Stanley's books and records to be inaccurate.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	08/16/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension



Capacities Affected: All capacities

Duration: 20 Days

Start Date: 09/18/2017

End Date: 10/07/2017

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



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: WELLS FARGO ADVISORS
Termination Type: Discharged
Termination Date: 11/15/2016
Allegations: Terminated for activity associated with departure from employment at Morgan Stanley.
Product Type: No Product

Reporting Source: Broker
Employer Name: WELLS FARGO ADVISORS
Termination Type: Discharged
Termination Date: 11/15/2016
Allegations: Terminated for activity associated with departure from employment at Morgan Stanley.
Product Type: No Product

End of Report



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