BrokerCheck Report

WILLIAM ANDREW MERRITT III

CRD# 4327201

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.

WILLIAM A. MERRITT III

CRD# 4327201

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

IA **WELLS FARGO ADVISORS**
1525 WEST WT HARRIS BLVD
BLDG 3 - 3RD FL
CHARLOTTE, NC 28262
CRD# 19616
Registered with this firm since: 05/16/2022

B **WELLS FARGO CLEARING SERVICES, LLC**
1525 WEST WT HARRIS BLVD
BLDG 3 - 3RD FL
CHARLOTTE, NC 28262
CRD# 19616
Registered with this firm since: 04/06/2022

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
- 53 U.S. states and territories

This broker has passed:

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

Registration History

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

B **FIFTH THIRD SECURITIES, INC.**
CRD# 628
CHARLOTTE, NC
11/2019 - 11/2020

B **WACHOVIA CAPITAL MARKETS, LLC**
CRD# 126292
CHARLOTTE, NC
10/2003 - 04/2006

B **RAYMOND JAMES FINANCIAL SERVICES, INC.**
CRD# 6694
ST. PETERSBURG, FL
11/2002 - 06/2003

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
Financial	1
Judgment/Lien	2

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 53 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 Representative	Approved	04/06/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/06/2022
B	FINRA	General Securities Representative	Approved	04/06/2022
B	NYSE American LLC	General Securities Representative	Approved	04/06/2022
B	NYSE Arca, Inc.	General Securities Representative	Approved	04/06/2022
B	NYSE Texas, Inc.	General Securities Representative	Approved	04/06/2022
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	04/06/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	04/06/2022
B	Nasdaq PHLX LLC	General Securities Representative	Approved	04/06/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	04/06/2022
B	New York Stock Exchange	General Securities Representative	Approved	04/06/2022

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/24/2022
B	Alaska	Agent	Approved	06/02/2022

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	06/16/2022
B	Arkansas	Agent	Approved	06/02/2022
B	California	Agent	Approved	06/02/2022
B	Colorado	Agent	Approved	06/03/2022
B	Connecticut	Agent	Approved	06/02/2022
B	Delaware	Agent	Approved	06/07/2022
B	District of Columbia	Agent	Approved	06/06/2022
B	Florida	Agent	Approved	07/05/2022
B	Georgia	Agent	Approved	06/02/2022
B	Hawaii	Agent	Approved	06/02/2022
B	Idaho	Agent	Approved	06/02/2022
B	Illinois	Agent	Approved	08/03/2022
B	Indiana	Agent	Approved	07/19/2022
B	Iowa	Agent	Approved	06/02/2022
B	Kansas	Agent	Approved	06/02/2022
B	Kentucky	Agent	Approved	06/02/2022
B	Louisiana	Agent	Approved	06/03/2022
B	Maine	Agent	Approved	06/02/2022
B	Maryland	Agent	Approved	06/02/2022
B	Massachusetts	Agent	Approved	06/02/2022
B	Michigan	Agent	Approved	07/21/2022

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Minnesota	Agent	Approved	06/02/2022
B	Mississippi	Agent	Approved	06/03/2022
B	Missouri	Agent	Approved	06/30/2022
B	Montana	Agent	Approved	06/02/2022
B	Nebraska	Agent	Approved	06/02/2022
B	Nevada	Agent	Approved	06/16/2022
B	New Hampshire	Agent	Approved	06/06/2022
B	New Jersey	Agent	Approved	06/02/2022
B	New Mexico	Agent	Approved	06/02/2022
B	New York	Agent	Approved	06/02/2022
B	North Carolina	Agent	Approved	05/09/2022
IA	North Carolina	Investment Adviser Representative	Approved	05/16/2022
B	North Dakota	Agent	Approved	06/06/2022
B	Ohio	Agent	Approved	06/02/2022
B	Oklahoma	Agent	Approved	06/02/2022
B	Oregon	Agent	Approved	07/05/2022
B	Pennsylvania	Agent	Approved	06/02/2022
B	Puerto Rico	Agent	Approved	06/02/2022
B	Rhode Island	Agent	Approved	06/10/2022
B	South Carolina	Agent	Approved	06/03/2022
B	South Dakota	Agent	Approved	07/01/2022

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Tennessee	Agent	Approved	06/02/2022
B	Texas	Agent	Approved	06/02/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	06/02/2022
B	Utah	Agent	Approved	06/02/2022
B	Vermont	Agent	Approved	06/02/2022
B	Virgin Islands	Agent	Approved	06/07/2022
B	Virginia	Agent	Approved	06/02/2022
B	Washington	Agent	Approved	06/06/2022
B	West Virginia	Agent	Approved	06/08/2022
B	Wisconsin	Agent	Approved	06/06/2022
B	Wyoming	Agent	Approved	06/09/2022

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC
1525 WEST WT HARRIS BLVD
BLDG 3 - 3RD FL
CHARLOTTE, NC 28262

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 1 principal/supervisory exam, 4 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	05/09/2025

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7TO	04/06/2022
B	Investment Banking Registered Representative Examination	Series 79TO	11/15/2019
B	Securities Industry Essentials Examination	SIE	11/04/2019
B	General Securities Representative Examination	Series 7	02/12/2001

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	05/07/2022
B	Uniform Securities Agent State Law Examination	Series 63	04/16/2001

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	11/2019 - 11/2020	FIFTH THIRD SECURITIES, INC.	628	CHARLOTTE, NC
B	10/2003 - 04/2006	WACHOVIA CAPITAL MARKETS, LLC	126292	CHARLOTTE, NC
B	11/2002 - 06/2003	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST. PETERSBURG, FL
B	02/2001 - 02/2002	BANC OF AMERICA SECURITIES LLC	26091	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
02/2022 - Present	WELLS FARGO CLEARING SERVICES LLC	REGISTERED REP	Y	CHARLOTTE, NC, United States
11/2021 - 02/2022	Concord High School	Success Coach	N	Concord, NC, United States
05/2021 - 08/2021	Digital Intelligence Systems (DISYS)	Case Advisor / Wells Fargo	N	Charlotte, NC, United States
11/2020 - 05/2021	Unemployed	Unemployed	N	Charlotte, NC, United States
08/2017 - 11/2020	FIFTH THIRD SECURITIES	REGISTERED REPRESENTATIVE	Y	CHARLOTTE, NC, United States
06/2017 - 11/2020	Fifth Third Bank	Director II	Y	Charlotte, NC, United States
10/2011 - 06/2017	Bank of America Merrill Lynch	Director - Credit Officer	N	Charlotte, NC, 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.

Registration and Employment History

Other Business Activities, continued

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:**
   - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - o 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.
   - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - o 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.
   - o
4. **There are different statuses and dispositions for disclosure events:**
   - o 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.
   - o 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
Financial	0	1	N/A
Judgment/Lien	2	N/A	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.

Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	03/01/2021
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	03/13/2021
If a compromise with creditor, provide:	
Name of Creditor:	Best Buy / CBNA
Original Amount Owed:	$5,635.00
Terms Reached with Creditor:	The creditor was Best Buy / CBNA. The credit limit was $3400. The Balance ballooned to $5635 due to deferred finance charges and interest. The creditor reached out and offered me the opportunity to paid the credit limit amount minus the penalties and deferred finance charges. I chose to take advantage of the opportunity and paid $3,400 to settle and close the account. Per my latest credit report, the account standing is listed as "SETTLED - Account legally paid in full for less than the full balance.
Broker Statement	I was unemployed during this period of time and my unemployment directly led to the situation in question

Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 2

Reporting Source:	Broker
Judgment/Lien Holder:	North Carolina Child Support Services
Judgment/Lien Amount:	$31,984.64
Judgment/Lien Type:	Civil
Date Filed with Court:	10/01/2023
Date Individual Learned:	10/01/2023
Type of Court:	State Court
Name of Court:	Mecklenburg County CSE
Location of Court:	Charlotte NC
Docket/Case #:	0008734718
Judgment/Lien Outstanding?	Yes
Broker Statement	I currently pay child support that comes out of each check to support my children. The amount in question is from the time periods I was unemployed and therefore should have not be accumulating during those periods. I have 60 days to appeal the amount in arrears and come to a resolution. I am in the middle of that process now and expect to have it fully resolved by the end of the year.

Disclosure 2 of 2

Reporting Source:	Broker
Judgment/Lien Holder:	North Carolina Department of Revenue
Judgment/Lien Amount:	$5,288.04
Judgment/Lien Type:	Tax
Date Filed with Court:	04/12/2023
Date Individual Learned:	04/26/2023
Type of Court:	State Court
Name of Court:	NC Department of Revenue
Location of Court:	Raleigh North Carolina

Judgment/Lien Outstanding?	Yes
Broker Statement	The amount in question is currently under dispute but is being addressed and will be paid in full once the final amount has been determined. I was just made aware of this issue on 4/26/2023.

End of Report

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