

## BrokerCheck Report

**KAREN MAES**

CRD# 4783976

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**KAREN MAES**

CRD# 4783976

**Currently employed by and registered with the following Firm(s):****IA WELLS FARGO ADVISORS**

4340 INNSLAKE DR  
CONCOURSE FLOOR, 7G91  
GLEN ALLEN, VA 23060  
CRD# 19616  
Registered with this firm since: 06/07/2017

**B WELLS FARGO CLEARING SERVICES, LLC**

4340 INNSLAKE DR  
CONCOURSE FLOOR, 7G91  
GLEN ALLEN, VA 23060  
CRD# 19616  
Registered with this firm since: 03/31/2014

**B WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**

4340 INNSLAKE DR 1ST & 3RD FLS  
GLEN ALLEN, VA 23060  
CRD# 11025  
Registered with this firm since: 06/07/2024

## 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:**

- 6 Self-Regulatory Organizations
- 1 U.S. state or territory

**This broker has passed:**

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

### Registration History

**This broker was previously registered with the following securities firm(s):****B FIRST CLEARING, LLC**

CRD# 17344  
ST. LOUIS, MO  
05/2009 - 11/2016

**B WACHOVIA SECURITIES, LLC**

CRD# 19616  
ST. LOUIS, MO  
06/2007 - 03/2009

### 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? **No**

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 6 SROs and is licensed in 1 U.S. state or territory through his or her employer.**

### Employment 1 of 2

Firm Name: **WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE  
H0004-05C  
ST. LOUIS, MO 63103**

Firm CRD#: **11025**

SRO	Category	Status	Date
<span style="color: blue;">B</span> FINRA	General Securities Representative	Approved	06/07/2024
<span style="color: blue;">B</span> FINRA	General Securities Sales Supervisor	Approved	06/07/2024
<span style="color: blue;">B</span> FINRA	Operations Professional	Approved	06/07/2024

### Branch Office Locations

**WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**

4340 INNSLAKE DR 1ST & 3RD FLS  
GLEN ALLEN, VA 23060

### Employment 2 of 2

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
<span style="color: blue;">B</span> Cboe Exchange, Inc.	General Securities Representative	Approved	10/18/2021
<span style="color: blue;">B</span> FINRA	General Securities Representative	Approved	03/31/2014



## Broker Qualifications

### Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	Operations Professional	Approved	03/31/2014
B FINRA	General Securities Sales Supervisor	Approved	06/20/2014
B NYSE American LLC	General Securities Representative	Approved	03/31/2014
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/31/2014
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	06/20/2014
B Nasdaq Stock Market	General Securities Representative	Approved	03/31/2014
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/20/2014
B New York Stock Exchange	General Securities Representative	Approved	03/31/2014
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
U.S. State/ Territory	Category	Status	Date
B Virginia	Agent	Approved	06/07/2017
IA Virginia	Investment Adviser Representative	Approved	06/07/2017

### Branch Office Locations

#### WELLS FARGO CLEARING SERVICES, LLC

4340 INNSLAKE DR  
CONCOURSE FLOOR, 7G91  
GLEN ALLEN, VA 23060

#### WELLS FARGO CLEARING SERVICES, LLC

MECHANICSVILLE, VA

## 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, 3 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination	Series 10	06/20/2014
General Securities Sales Supervisor - Options Module Examination	Series 9	06/06/2014

#### General Industry/Product Exams

Exam	Category	Date
Operations Professional Examination	Series 99TO	01/02/2023
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	06/13/2007

#### State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination	Series 66	06/07/2017

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/](http://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 05/2009 - 11/2016	FIRST CLEARING, LLC	17344	ST. LOUIS, MO
B 06/2007 - 03/2009	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO

## 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
04/2009 - Present	FIRST CLEARING, LLC	CLIENT ADVOCACY ANALYST	Y	ST LOUIS, MO, 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.

RENTAL PROPERTY; INV RELATED; MECHANICSVILLE, VA; OWNER; START: 9/2016; 0 HR/MO; 0 DURING TRADING.  
 ORGANIZED BY KLM ; NOT INV RELATED; MECHANICSVILLE, VA; HOME ORGANIZATION;100% OWNERSHIP; START DATE: 01/05/2026; 20 HRS PER MONTH; 0 HRS DURING TRADING;|

## End of Report



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