

## BrokerCheck Report

### Stephen James Fazio

CRD# 7042131

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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).

**Stephen J. Fazio**

CRD# 7042131

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

**IA WELLS FARGO ADVISORS**  
 648 LONG POINT RD  
 MOUNT PLEASANT, SC 29464  
 CRD# 19616  
 Registered with this firm since: 08/19/2025

**B WELLS FARGO CLEARING SERVICES, LLC**  
 648 LONG POINT RD  
 MOUNT PLEASANT, SC 29464  
 CRD# 19616  
 Registered with this firm since: 07/21/2025

**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
- 2 U.S. states and territories

**This broker has passed:**

- 0 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 MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 CRD# 7691  
 MOUNT PLEASANT, SC  
 08/2024 - 06/2025
- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 CRD# 7691  
 NEW YORK, NY  
 08/2024 - 06/2025
- IA WELLS FARGO ADVISORS**  
 CRD# 19616  
 ST. LOUIS, MO  
 10/2022 - 07/2024

**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 11 SROs and is licensed in 2 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: H0004-05G  
ST. LOUIS, MO 63103**

Firm CRD#: **19616**

SRO	Category	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	07/21/2025
B Cboe Exchange, Inc.	General Securities Representative	Approved	07/21/2025
B FINRA	General Securities Representative	Approved	07/21/2025
B FINRA	Invest. Co and Variable Contracts	Approved	07/21/2025
B NYSE American LLC	General Securities Representative	Approved	07/21/2025
B NYSE Arca, Inc.	General Securities Representative	Approved	07/21/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	07/21/2025
B Nasdaq GEMX, LLC	General Securities Representative	Approved	07/21/2025
B Nasdaq ISE, LLC	General Securities Representative	Approved	07/21/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	07/21/2025
B Nasdaq Stock Market	General Securities Representative	Approved	07/21/2025
B New York Stock Exchange	General Securities Representative	Approved	07/21/2025

U.S. State/ Territory	Category	Status	Date
B Colorado	Agent	Approved	12/22/2025



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
<b>B</b>	South Carolina	Agent	Approved	07/21/2025
<b>IA</b>	South Carolina	Investment Adviser Representative	Approved	08/19/2025

### Branch Office Locations

#### WELLS FARGO CLEARING SERVICES, LLC

648 LONG POINT RD  
MOUNT PLEASANT, SC 29464

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## 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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination	Series 7TO	12/30/2022
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6TO	12/17/2018
<b>B</b> Securities Industry Essentials Examination	SIE	12/11/2018

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	10/28/2022
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	02/25/2019

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>B</b> 08/2024 - 06/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MOUNT PLEASANT, SC
<b>IA</b> 08/2024 - 06/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MOUNT PLEASANT, SC
<b>IA</b> 10/2022 - 07/2024	WELLS FARGO ADVISORS	19616	MOUNT PLEASANT, SC
<b>B</b> 10/2022 - 07/2024	WELLS FARGO CLEARING SERVICES, LLC	19616	MOUNT PLEASANT, SC
<b>B</b> 12/2018 - 04/2021	NYLIFE SECURITIES LLC	5167	CHARLESTON, SC

### 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
07/2025 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	CHARLESTON, SC, United States
08/2024 - 07/2025	Bank of America, N.A.	FSA - Merrill	Y	Mount Pleasant, SC, United States
07/2024 - 07/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FSA - Merrill	Y	Mount Pleasant, SC, United States
09/2022 - 07/2024	Wells Fargo Bank, NA	Banker	Y	MT. PLEASANT, SC, United States
09/2022 - 07/2024	Wells Fargo Clearing Services, LLC	Registered Rep	Y	MT. PLEASANT, SC, United States
06/2022 - 09/2022	Unemployed	Unemployed	N	Mount Pleasant, SC, United States
03/2021 - 06/2022	Liberty Mutual	Insurance Sales Advisor	N	Boston, MA, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
12/2018 - 04/2021	NYLIFE SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	Charleston, SC, United States
11/2018 - 04/2021	NEW YORK LIFE INSURANCE CO	AGENT	Y	Charleston, SC, United States
07/2018 - 10/2018	GNC	sales associate	N	Elyria, OH, United States
05/2012 - 10/2018	Avon School of Music	guitar teacher	N	Lorain, OH, 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.

## End of Report



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