

BrokerCheck Report

JONATHAN DAVID SCHLACKMAN

CRD# 839420

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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.

**JONATHAN D. SCHLACKMAN**

CRD# 839420

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

IA WELLS FARGO ADVISORS
 1250 POYDRAS ST FL 24
 NEW ORLEANS, LA 70113
 CRD# 19616
 Registered with this firm since: 08/26/2015

B WELLS FARGO CLEARING SERVICES, LLC
 1250 POYDRAS ST FL 24
 NEW ORLEANS, LA 70113
 CRD# 19616
 Registered with this firm since: 08/26/2015

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
- 24 U.S. states and territories

This broker has passed:

- 4 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 MORGAN STANLEY**
 CRD# 149777
 NEW ORLEANS, LA
 06/2009 - 09/2015
- IA MORGAN STANLEY**
 CRD# 149777
 PURCHASE, NY
 06/2009 - 09/2015
- B MORGAN STANLEY & CO. INCORPORATED**
 CRD# 8209
 NEW ORLEANS, LA
 08/2008 - 06/2009

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	3



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 24 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 Exchange, Inc.	General Securities Principal	Approved	09/11/2021
B	Cboe Exchange, Inc.	General Securities Representative	Approved	09/11/2021
B	FINRA	General Securities Representative	Approved	08/26/2015
B	FINRA	General Securities Principal	Approved	09/02/2015
B	FINRA	General Securities Sales Supervisor	Approved	09/02/2015
B	NYSE American LLC	General Securities Representative	Approved	08/26/2015
B	NYSE American LLC	General Securities Principal	Approved	09/02/2015
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/26/2015
B	Nasdaq PHLX LLC	General Securities Principal	Approved	09/02/2015
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	09/02/2015
B	Nasdaq Stock Market	General Securities Representative	Approved	08/26/2015
B	Nasdaq Stock Market	General Securities Principal	Approved	09/02/2015
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	09/02/2015
B	New York Stock Exchange	General Securities Representative	Approved	08/26/2015



Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	New York Stock Exchange	General Securities Principal	Approved	09/02/2015
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	09/09/2015
IA	Alabama	Investment Adviser Representative	Approved	09/16/2015
B	Arizona	Agent	Approved	10/07/2016
B	California	Agent	Approved	09/09/2015
B	Colorado	Agent	Approved	02/20/2020
B	Connecticut	Agent	Approved	09/09/2015
B	District of Columbia	Agent	Approved	03/31/2021
B	Florida	Agent	Approved	09/09/2015
B	Georgia	Agent	Approved	09/09/2015
B	Illinois	Agent	Approved	03/24/2025
B	Louisiana	Agent	Approved	08/26/2015
IA	Louisiana	Investment Adviser Representative	Approved	08/26/2015
B	Maryland	Agent	Approved	09/09/2015
B	Massachusetts	Agent	Approved	09/07/2016
B	Mississippi	Agent	Approved	04/06/2020
B	Missouri	Agent	Approved	02/20/2020
B	New Jersey	Agent	Approved	09/09/2015
B	New York	Agent	Approved	10/20/2015



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	04/02/2020
B	Ohio	Agent	Approved	04/02/2020
B	Pennsylvania	Agent	Approved	06/07/2018
B	South Carolina	Agent	Approved	06/03/2025
B	Tennessee	Agent	Approved	02/11/2016
B	Texas	Agent	Approved	09/09/2015
IA	Texas	Investment Adviser Representative	Approved	09/09/2015
B	Virginia	Agent	Approved	02/27/2020
B	Washington	Agent	Approved	02/20/2020

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC

1250 POYDRAS ST FL 24
NEW ORLEANS, LA 70113



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 4 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 - Options Module Examination	Series 9	01/02/2023
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	08/25/1988
B General Securities Principal Examination	Series 24	04/30/1982

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	10/05/1994
B General Securities Representative Examination	Series 7	06/18/1977

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	11/19/2009
B Uniform Securities Agent State Law Examination	Series 63	02/15/1985

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 06/2009 - 09/2015	MORGAN STANLEY	149777	NEW ORLEANS, LA
IA 06/2009 - 09/2015	MORGAN STANLEY	149777	NEW ORLEANS, LA
B 08/2008 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	NEW ORLEANS, LA
IA 08/2008 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	NEW ORLEANS, LA
IA 08/2005 - 09/2008	UBS FINANCIAL SERVICES INC.	8174	NEW ORLEANS, LA
B 08/2000 - 09/2008	UBS FINANCIAL SERVICES INC.	8174	NEW ORLEANS, LA
B 08/1990 - 08/2000	J.C. BRADFORD & CO.	1287	NEW YORK, NY
B 06/1984 - 08/1990	PRUDENTIAL-BACHE SECURITIES INC.	7471	NEW YORK, NY
B 06/1982 - 06/1984	BLACKSTOCK & CO., INC.	8469	
B 03/1980 - 05/1982	BLINDER, ROBINSON & CO., INC.	5096	
B 06/1978 - 03/1980	ROBINSON-HUMPHREY COMPANY, INC. (THE)	723	
B 06/1978 - 07/1978	CAPITAL ANALYSTS, INCORPORATED	5478	
B 07/1977 - 05/1978	ROBINSON-HUMPHREY COMPANY, INC. (THE)	723	

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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	METAIRIE, LA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2015 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	METAIRIE, LA, 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.

TRUSTEE FOR DECEASED FATHER'S TRUST; INV. RELATED; BRIDGEPORT, CT; START DATE 12/18/2001; 5 HRS PER MONTH; 1 HR DURING TRADING.

POWER OF ATTORNEY FOR WIFE; INV. RELATED; METAIRIE, LA; START DATE 10/2019; 5 HRS PER MONTH; 5 HRS DURING TRADING.

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.
 -
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



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:	Regulator
Regulatory Action Initiated By:	GEORGIA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/01/1982
Docket/Case Number:	50-82-8308
Employing firm when activity occurred which led to the regulatory action:	BLINDER ROBINSON & COMPANY
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/01/1982
Sanctions Ordered:	Cease and Desist/Injunction

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

STATE OF GEORGIA, COMMISSIONER OF SECURITIES ISSUED AN ORDER OF PROHIBITION , SUSPENSION, & REVOCATION (CASE NO. 50-82- 8038(h)) AGAINST JONATHAN D. SCHLACKMAN, EMPLOYED AT THE 4403 BEACH ROAD, JACKSONVILLE, FL OFFICE OF BLINDER ROBINSON, AND BLINDER ROBINSON & COMPANY, INC., GEOFFREY L. MANN, KEITH J. LAVIS, JAMES E. NASH, HUGH A. HEMLY, ROBERT CHRISTIAN, MICHAEL PORTNOY, LAWRENCE KAPLAN, AND ABRAHAM MASLIANSKY. THIS ORDER IS BASED ON THE ALLEGATION THAT FROM THE PERIOD OF TIME BEGINNING ON 5/29/81 AND CONINUING ON OR ABOUT 10/30/81 BLINDER ROBINSON, SCHLACKMAN, CHRISTIAN, KAPLAN, PORTNOY, AND MASLIANSKY OFFERED FOR SALE AND SOLD SECURITIES TO RESIDENTS OF THE STATE OF GEORGIA. THERE WERE AT LEAST SEVEN (7) TRADES EFFECTED IN THE ACCOUNTS OF AT LEAST TEN (10) GEORGIA RESIDENTS. THESE TRANSACTIONS WERE MADE AT A TIME WHEN THE SECURITIES REGISTRATION OF THE FIRM WAS UNDER SUSPENSION AND THAT SCHLACKMAN WAS NOT REGISTERED IN GEORGIA. SCHLACKMAN IS ORDERED TO CEASE AND DESIST THE OFFERS AND SALES OF SECURITIES THAT ARE BEING MADE IN VIOLATION OF SECTION 3 OF THE GEORGIA SECURITIES ACT OF 1973, AS AMENDED.

Reporting Source:

Broker

Regulatory Action Initiated By:

STATE OF GEORGIA, COMMISSIONER OF SECURITIES

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

09/01/1982

Docket/Case Number:

50-82-8308



Employing firm when activity occurred which led to the regulatory action: BLINDER ROBINSON & COMPANY

Product Type:

Other Product Type(s):

Allegations: THAT WHILE EMPLOYED AS A SALESMAN OF BLINDER ROBINSON I SOLD SECURITIES TO GEORGIA RESIDENTS FROM MAY 29, 1981 TO OCTOBER 30, 1981 WHEN THE SECURITIES REGISTRATION OF BLINDER ROBINSON WAS UNDER SUSPENSION AND I WAS THUS NOT REGISTERED IN GEORGIA.

Current Status: Final

Resolution: Decision

Resolution Date: 09/01/1982

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: I WAS ORDERED TO CEASE & DESIST IN THIS VIOLATION.

Broker Statement Not Provided

Disclosure 2 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: FLORIDA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/17/1980

Docket/Case Number: Unknown

Employing firm when activity occurred which led to the regulatory action: BLINDER ROBINSON & COMPANY

Product Type:

Other Product Type(s):

**Allegations:****Current Status:** Final**Resolution:** Decision**Resolution Date:** 04/17/1980**Regulator Statement** STATE OF FL - ADMINISTRATIVE ACTIONS - PAGE 77: ENFORCEMENT BULLETIN FROM 04-17-80 TO 04-21-80 - FAILURE TO FILE FORM ON VERBAL APPROVAL PROGRAM.**Reporting Source:** Broker**Regulatory Action Initiated By:** STATE OF FLORIDA, SECURITIES DIVISION**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 04/17/1980**Docket/Case Number:** Unknown**Employing firm when activity occurred which led to the regulatory action:** BLINDER ROBINSON & COMPANY**Product Type:****Other Product Type(s):****Allegations:** FAILURE TO FILE FORM ON VERBAL APPROVAL PROGRAM FOR THE NEW BLINDER ROBINSON BRANCH I OPENED IN JACKSONVILLE, FL.**Current Status:** Final**Resolution:** Decision**Resolution Date:** 04/17/1980**Sanctions Ordered:****Other Sanctions Ordered:****Sanction Details:** BLINDER ROBINSON WAS SUSPENDED FROM DOING BUSINESS IN FLORIDA UNTIL IT HAD FILED THE NECESSARY PAPERWORK NOTIFYING FLORIDA THAT IT WAS OPENING THE NEW BRANCH. I



BELIEVE THE SUSPENSION LASTED ONLY A FEW DAYS.

Broker Statement

Not Provided

Disclosure 3 of 3

Reporting Source:

Broker

Regulatory Action Initiated By:

STATE OF GEORGIA, COMMISSIONER OF SECURITIES

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:

04/01/1981

Docket/Case Number:

50-81-0022

Employing firm when activity occurred which led to the regulatory action:

BLINDER ROBINSON & COMPANY

Product Type:

Other Product Type(s):

Allegations:

THAT WHILE A SALESMAN EMPLOYED BY BLINDER ROBINSON I SOLD SECURITIES TO RESIDENTS OF THE STATE OF GEORGIA FROM MAY 1980 TO OCTOBER 1980 AND WAS NOT LICENSED AS A SECURITIES SALESMAN IN GEORGIA.

Current Status:

Final

Resolution:

Consent

Resolution Date:

08/27/1981

Sanctions Ordered:

Cease and Desist/Injunction
Suspension

Other Sanctions Ordered:

Sanction Details:

I CONSENTED TO A 15 DAY SUSPENSION AND CEASE & DESIST ORDER ENTERED BY THE GEORGIA SECURITIES COMMISSIONER. THE CONSENT WAS SIGNED 8-27-81.

Broker Statement

Not Provided

End of Report



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