

## BrokerCheck Report

### ALFRED ERWIN BRAUN

CRD# 2521017

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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)

**ALFRED E. BRAUN**

CRD# 2521017

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

- B WELLS FARGO CLEARING SERVICES, LLC**  
2 INTERNATIONAL PLAZA 20TH FL  
[SUPPORT CENTER]  
BOSTON, MA 02110  
CRD# 19616  
Registered with this firm since: 01/21/2016
- IA WELLS FARGO CLEARING SERVICES, LLC**  
2 INTERNATIONAL PLAZA 20TH FL  
[SUPPORT CENTER]  
BOSTON, MA 02110  
CRD# 19616  
Registered with this firm since: 01/22/2016

**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:**

- 6 Self-Regulatory Organizations
- 4 U.S. states and territories

**This broker has passed:**

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

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

- IA TIAA-CREF ADVICE AND PLANNING SERVICES**  
CRD# 20472  
NEW YORK, NY  
02/2011 - 07/2014
- B TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC**  
CRD# 20472  
BOSTON, MA  
02/2011 - 07/2014
- IA J.P.MORGAN SECURITIES INC.**  
CRD# 79  
NEW YORK, NY  
10/2008 - 08/2010

**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 4 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: H0004-063  
ST. LOUIS, MO 63103-2205**

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 Principal	Approved	01/21/2016
B FINRA	General Securities Representative	Approved	01/21/2016
B FINRA	General Securities Sales Supervisor	Approved	01/21/2016
B FINRA	Operations Professional	Approved	03/09/2016
B NYSE American LLC	General Securities Principal	Approved	01/21/2016
B NYSE American LLC	General Securities Representative	Approved	01/21/2016
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Principal	Approved	01/21/2016
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/21/2016
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	01/21/2016
B Nasdaq Stock Market	General Securities Principal	Approved	01/21/2016
B Nasdaq Stock Market	General Securities Representative	Approved	01/21/2016
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/21/2016



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
<b>B</b> New York Stock Exchange	General Securities Principal	Approved	01/21/2016
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	01/21/2016
<b>B</b> New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

U.S. State/ Territory	Category	Status	Date
<b>B</b> Arkansas	Agent	Approved	07/18/2018
<b>B</b> Connecticut	Agent	Approved	01/21/2016
<b>IA</b> Connecticut	Investment Adviser Representative	Approved	01/22/2016
<b>B</b> Massachusetts	Agent	Approved	09/08/2016
<b>B</b> Utah	Agent	Approved	07/17/2018

### Branch Office Locations

**WELLS FARGO CLEARING SERVICES, LLC**  
 2 INTERNATIONAL PLAZA 20TH FL  
 [SUPPORT CENTER]  
 BOSTON, MA 02110

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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.

**This individual has passed 4 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	06/24/1999
<b>B</b> General Securities Principal Examination	Series 24	01/28/1999

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	02/18/1998
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	07/14/1994

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	02/26/2007
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	02/27/1998

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
IA 02/2011 - 07/2014	TIAA-CREF ADVICE AND PLANNING SERVICES	20472	BOSTON, MA
B 02/2011 - 07/2014	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	20472	BOSTON, MA
IA 10/2008 - 08/2010	J.P.MORGAN SECURITIES INC.	79	BOSTON, MA
B 10/2008 - 08/2010	J.P. MORGAN SECURITIES INC.	79	BOSTON, MA
IA 06/2008 - 10/2008	J. P. MORGAN SECURITIES INC.	18718	BOSTON, MA
B 05/2008 - 10/2008	J.P. MORGAN SECURITIES INC.	18718	BOSTON, MA
IA 03/2007 - 05/2008	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	BOSTON, MA
B 01/2005 - 05/2008	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	BOSTON, MA
B 02/1998 - 01/2005	NATIONAL FINANCIAL SERVICES LLC	13041	BOSTON, 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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	Registered Rep	Y	Ansonia, CT, United States
12/2015 - 11/2016	Wells Fargo Advisors	Registered Rep	Y	Ansonia, CT, United States
08/2014 - 11/2015	Unemployed	None	N	Quincy, MA, United States
01/2011 - 07/2014	TIAA	BRANCH SUPERV. ADMINISTRATOR	Y	BOSTON, MA, United States



## Registration and Employment History



### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2011 - 07/2014	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	BOSTON, MA, 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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