

BrokerCheck Report

AARON ROBERT PARTHEMER

CRD# 2546369

Report #65813-51382, data current as of Thursday, April 23, 2015.

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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 <http://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.



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.

Thank you for using FINRA BrokerCheck.

AARON R. PARTHEMER

CRD# 2546369

Currently employed by and registered with the following Firm(s):**WELLS FARGO ADVISORS, LLC**200 E LAS OLAS BLVD
STE 1820FORT LAUDERDALE, FL 33301
CRD# 19616

Registered with this firm since: 10/21/2011

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:**

- 5 Self-Regulatory Organizations
- 30 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****MORGAN STANLEY SMITH BARNEY**CRD# 149777
FT. LAUDERDALE, FL
06/2009 - 11/2011**CITIGROUP GLOBAL MARKETS INC.**CRD# 7059
FT. LAUDERDALE, FL
11/2006 - 06/2009**BANC OF AMERICA INVESTMENT SERVICES, INC.**CRD# 16361
FT. LAUDERDALE, FL
04/1998 - 11/2006**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**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <http://www.adviserinfo.sec.gov>



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 5 SROs and is licensed in 30 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS, LLC**
 Main Office Address: **ONE NORTH JEFFERSON AVENUE
 ST. LOUIS, MO 63103**
 Firm CRD#: **19616**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	10/21/2011
NASDAQ OMX PHLX, Inc.	General Securities Representative	APPROVED	10/21/2011
NASDAQ Stock Market	General Securities Representative	APPROVED	10/21/2011
NYSE MKT LLC	General Securities Representative	APPROVED	10/21/2011
New York Stock Exchange	General Securities Representative	APPROVED	10/21/2011

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
Alabama	Agent	APPROVED	04/10/2014	Indiana	Agent	APPROVED	10/21/2011
Arizona	Agent	APPROVED	11/12/2013	Kentucky	Agent	APPROVED	11/28/2014
California	Agent	APPROVED	10/21/2011	Louisiana	Agent	APPROVED	01/29/2014
Colorado	Agent	APPROVED	10/21/2011	Maryland	Agent	APPROVED	10/21/2011
Delaware	Agent	APPROVED	08/22/2014	Minnesota	Agent	APPROVED	10/30/2013
District of Columbia	Agent	APPROVED	11/30/2012	Missouri	Agent	APPROVED	10/21/2011
Florida	Agent	APPROVED	10/21/2011	Nevada	Agent	APPROVED	11/23/2013
Georgia	Agent	APPROVED	10/21/2011	New Jersey	Agent	APPROVED	06/27/2013
Illinois	Agent	APPROVED	10/21/2011	New York	Agent	APPROVED	10/21/2011
				North Carolina	Agent	APPROVED	10/24/2011



Broker Qualifications

Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
Ohio	Agent	APPROVED	10/15/2013
Oklahoma	Agent	APPROVED	10/21/2011
Pennsylvania	Agent	APPROVED	02/12/2014
Rhode Island	Agent	APPROVED	10/21/2011
South Carolina	Agent	APPROVED	10/21/2011
Tennessee	Agent	APPROVED	10/21/2011
Texas	Agent	APPROVED	10/21/2011
Virginia	Agent	APPROVED	10/21/2011
Washington	Agent	APPROVED	02/23/2015
West Virginia	Agent	APPROVED	09/12/2014
Wisconsin	Agent	APPROVED	09/12/2014

Branch Office Locations

WELLS FARGO ADVISORS, LLC
 200 E LAS OLAS BLVD
 STE 1820
 FORT LAUDERDALE, FL 33301



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 0 principal/supervisory exams, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	10/25/1994

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	11/01/1994
Uniform Investment Adviser Law Examination	Series 65	01/17/1996

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
06/2009 - 11/2011	MORGAN STANLEY SMITH BARNEY	149777	FT. LAUDERDALE, FL
11/2006 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	FT. LAUDERDALE, FL
04/1998 - 11/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	FT.LAUDERDALE, FL
05/1997 - 04/1998	BARNETT INVESTMENTS, INC.	14897	JACKSONVILLE, FL
10/1995 - 03/1997	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
10/1994 - 10/1995	L.C. WEGARD & CO., INC.	3722	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 Dates	Employer Name	Employer Location
10/2011 - Present	WELLS FARGO ADVISORS	FORT LAUDERDALE, FL
06/2009 - 10/2011	MORGAN STANLEY SMITH BARNEY	FT. LAUDERDALE, FL
11/2006 - 10/2011	CITIGROUP GLOBAL MARKETS INC.	FORT LAUDERDALE, FL
04/1998 - 11/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	FT. LAUDERDALE, FL

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.

POINCIANA PLACE HOMEOWNERS ASSOCIATION; NOT INVESTMENT RELATED; FORT LAUDERDALE, FL; HELP HOMEOWNERS IN COMPLEX; PRESIDENT; START DATE 7/2003; 1 HR PER MONTH; 0 HRS DURING TRADING.
AARON PARTHEMER, NOT INVESTMENT RELATED, FORT LAUDERDALE, FL. OWNER, START: 1/1/2015, 1

Registration and Employment History



Other Business Activities, continued

HOUR/MONTH, 0 DURING TRADING, FACILITATE PAYMENT OF HOUSEHOLD EMPLOYEE/NANNY.

End of Report



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