



## IAPD Report

# JOHN GREGORY YUZZOLIN

CRD# 4196383

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**i** Please be aware that fraudsters may link to Investment Adviser Public Disclosure 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.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### JOHN GREGORY YUZZOLIN (CRD# 4196383)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/16/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	05/30/2013
<b>IA</b>	WELLS FARGO ADVISORS	CRD# 19616	01/19/2016

### QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **10** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>B</b>	BMO HARRIS FINANCIAL ADVISORS, INC.	137115	LONGWOOD, FL	08/01/2012 - 05/20/2013
<b>B</b>	M&I FINANCIAL ADVISORS, INC	16517	LONGWOOD, FL	11/14/2008 - 08/01/2012
<b>B</b>	SYMETRA INVESTMENT SERVICES, INC.	19061	PORT ORANGE, FL	05/01/2006 - 05/07/2008

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

**No**



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **10** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **WELLS FARGO CLEARING SERVICES, LLC**  
Main Address: ONE NORTH JEFFERSON AVENUE  
MAIL CODE: H0004-063  
ST. LOUIS, MO 63103-2205  
Firm ID#: 19616

Regulator	Registration	Status	Date
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	12/02/2021
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	05/30/2013
<b>B</b> FINRA	General Securities Representative	Approved	07/03/2013
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	12/19/2015
<b>B</b> NYSE American LLC	General Securities Representative	Approved	07/03/2013
<b>B</b> NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	07/03/2013
<b>B</b> Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	12/19/2015
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/03/2013
<b>B</b> Nasdaq Stock Market	General Securities Sales Supervisor	Approved	12/19/2015
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	07/03/2013
<b>B</b> New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
<b>B</b> Arkansas	Agent	Approved	02/08/2017



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Florida	Agent	Approved	05/30/2013
<b>IA</b> Florida	Investment Adviser Representative	Approved	01/19/2016
<b>B</b> Georgia	Agent	Approved	08/26/2013
<b>B</b> Massachusetts	Agent	Approved	02/08/2017
<b>B</b> Missouri	Agent	Approved	08/03/2023
<b>B</b> New York	Agent	Approved	07/26/2023
<b>B</b> Pennsylvania	Agent	Approved	07/26/2023
<b>B</b> Texas	Agent	Approved	07/26/2023
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	07/27/2023
<b>B</b> Utah	Agent	Approved	02/08/2017
<b>B</b> Vermont	Agent	Approved	07/26/2023

#### Branch Office Locations

**WELLS FARGO ADVISORS**

480 N ORLANDO AVE STES 210 AND C220  
[RBO]  
WINTER PARK, FL 32789

**WELLS FARGO ADVISORS**

1025 GREENWOOD BLVD STE 179  
LAKE MARY, FL 32746

**WELLS FARGO ADVISORS**

1 INDEPENDENT DRIVE 20TH FL  
[F4-RBO]  
JACKSONVILLE, FL 32202





## Qualifications

### PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**




#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/19/2015
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/25/2015

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/02/2013
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/10/2000

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	01/14/2016
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/26/2013

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	08/01/2012 - 05/20/2013	BMO HARRIS FINANCIAL ADVISORS, INC.	CRD# 137115	LONGWOOD, FL
B	11/14/2008 - 08/01/2012	M&I FINANCIAL ADVISORS, INC	CRD# 16517	LONGWOOD, FL
B	05/01/2006 - 05/07/2008	SYMETRA INVESTMENT SERVICES, INC.	CRD# 19061	PORT ORANGE, FL
B	04/18/2005 - 05/05/2006	INVEST FINANCIAL CORPORATION	CRD# 12984	PORT ORANGE, FL
B	07/08/2003 - 03/01/2004	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	08/11/2000 - 02/25/2002	THE HUNTINGTON INVESTMENT COMPANY	CRD# 16986	COLUMBUS, OH

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	ORLANDO, FL, United States
04/2013 - Present	WELLS FARGO BANK NA	ACS SALES COACH	Y	ORLANDO, FL, United States
05/2013 - 11/2016	WELLS FARGO ADVISORS, LLC.	REGISTERED REP	Y	ORLANDO, FL, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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 PARENTS, INV RELATED, PORT ORANGE, FL, START: 12/16/2021, 5 HRS/MONTH, 0 HRS DURING TRADING.

RONDALD MCDONALD HOUSE OF CENTRAL FLORIDA, INV RELATED, ORLANDO, FL, FINANCE COMMITTEE CHAIR, START 1/1/2023, 3 HOURS PER MONTH, ZERO HOURS DURING TRADING, REVIEWING PREPARED FINANCIAL STATEMENTS WITH THE COMMITTEE, CEO, AND CFO.



## End of Report

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