



## Entity Profile Information

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Viewed on February 10, 2023

NFA ID 0399337 WELLS FARGO BANK NATIONAL ASSOCIATION

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### Current Status Information

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Branch ID	Status	Effective Date
	NFA MEMBER APPROVED	05/01/2013
	SWAP DEALER PROVISIONALLY REGISTERED	12/31/2012

### Status History Information

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Status	Effective Date
NFA MEMBER APPROVED	05/01/2013
SWAP DEALER PROVISIONALLY REGISTERED	12/31/2012
NFA MEMBER PENDING	11/26/2012
SWAP DEALER PENDING	11/26/2012

NFA ID 0299086 WELLS FARGO INVESTMENT INSTITUTE INC

PRINCIPAL WITHDRAWN	06/09/2022
PRINCIPAL APPROVED	07/12/2017
PRINCIPAL PENDING	07/06/2017

### Outstanding Requirements

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Annual Due Date: 5/1/2023

4S SUBMISSIONS IN REVIEW

FIRM DISCIPLINARY INFORMATION IN REVIEW

### Disciplined Employee Summary

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## Business Information

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Viewed on February 10, 2023

NFA ID 0399337 WELLS FARGO BANK NATIONAL ASSOCIATION

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Name	<b>WELLS FARGO BANK NATIONAL ASSOCIATION</b>
Form of Organization	<b>US FEDERALLY CHARTERED BANK</b>

Federal EIN	<b>Not provided</b>
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### Business Address

Street Address 1	<b>101 N. PHILLIPS AVENUE</b>
City	<b>SIOUX FALLS</b>
State (United States only)	<b>SOUTH DAKOTA</b>
Zip/Postal Code	<b>57104</b>
Country	<b>UNITED STATES</b>

Phone Number	<b>212-214-6236</b>
Fax Number	<b>Not provided</b>

Email	<b>Not provided</b>
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Website/URL	<b>WWW.WELLSFARGO.COM</b>
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CRD/IARD ID	<b>Not provided</b>
	<b>US FEDERALLY CHARTERED BANK</b>
	<b>F</b>



## Other Names

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Viewed on February 10, 2023

NFA ID 0399337 WELLS FARGO BANK NATIONAL ASSOCIATION

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**WELLS FARGO BANK NA**

**ALIAS**



## Location of Business Records

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NFA ID 0399337 WELLS FARGO BANK NATIONAL ASSOCIATION

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Street Address 1	<b>550 SOUTH TRYON STREET</b>
Street Address 2	<b>6TH FLOOR</b>
Street Address 3	<b>D1086-060</b>
City	<b>CHARLOTTE</b>
State	<b>NORTH CAROLINA</b>
Zip/Postal Code	<b>28202</b>
Country	<b>UNITED STATES</b>



## Principal Information

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Viewed on February 10, 2023

NFA ID 0399337 WELLS FARGO BANK NATIONAL ASSOCIATION

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### Individual Information

NFA ID **0427544**  
Name **ALLEN, RENEE**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **12-20-2012**

NFA ID **0244096**  
Name **BARRY, JUDITH**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **01-10-2023**

NFA ID **0538233**  
Name **BENNETT, NICHOLAS WILLIAM**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **03-30-2021**

NFA ID **0477406**  
Name **BONNER, BENJAMIN THOMAS**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **05-20-2014**

NFA ID **0303002**  
Name **CHANCY, MARK ALAN**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **10-21-2020**

NFA ID 0537300  
Name CLINGHAM JR, JAMES HOWARD  
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION  
10% or More Interest No  
Status APPROVED  
Effective Date 03-01-2021

NFA ID 0200242  
Name CRAVER, THEODORE F JR  
Title(s) DIRECTOR  
10% or More Interest No  
Status APPROVED  
Effective Date 08-22-2019

NFA ID 0447669  
Name DIETZ, CHARLES EDWARD  
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION  
10% or More Interest No  
Status APPROVED  
Effective Date 03-03-2022

NFA ID 0427087  
Name GNALL, JAMES WILLIAM  
Title(s) HEAD OF BUSINESS UNIT, DIVISION OR FUNCTION  
10% or More Interest No  
Status APPROVED  
Effective Date 12-03-2021

NFA ID 0552982  
Name HEITMAN, BRADFORD JACK  
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION  
10% or More Interest No  
Status APPROVED  
Effective Date 12-12-2022

NFA ID 0554229  
Name HINDMAN, VINCENT PAUL  
Title(s) HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION  
10% or More Interest No  
Status PENDING

Effective Date **02-06-2023**

NFA ID **0546565**  
Name **KEARNS, WILLIAM JOSEPH**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **02-25-2022**

NFA ID **0300619**  
Name **KOHN, MARK JONATHAN**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **02-23-2021**

NFA ID **0552260**  
Name **MACCHIO, PETER**  
Title(s) **CHIEF COMPLIANCE OFFICER**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **10-20-2022**

NFA ID **0550747**  
Name **MARCHAL, CHRISTOPHER**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **09-19-2022**

NFA ID **0547721**  
Name **MARRIOTT, JAMES DOUGLAS**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **04-01-2022**

NFA ID **0524015**  
Name **MORRIS, MARIA**  
Title(s) **DIRECTOR**  
10% or More Interest **No**

Status **APPROVED**  
Effective Date **10-02-2019**

NFA ID **0452535**  
Name **MULLINS, TIMOTHY PAUL**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **05-02-2018**

NFA ID **0264809**  
Name **ONEILL, JAMES PATRICK**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **10-05-2022**

NFA ID **0537698**  
Name **PAPSON, ALEXANDER FRANCIS**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **03-26-2021**

NFA ID **0453848**  
Name **PAYNE JR, RICHARD BANKS**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **07-22-2020**

NFA ID **0548924**  
Name **PECK, CHARLES**  
Title(s) **HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **07-14-2022**

NFA ID **0527366**  
Name **POWELL, SCOTT E**  
Title(s) **CHIEF OPERATING OFFICER**



10% or More Interest **No**  
Status **APPROVED**  
Effective Date **12-30-2019**

NFA ID **0544708**  
Name **PRIMAVERA, TODD G**  
Title(s) **HEAD OF BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **01-26-2022**

NFA ID **0524035**  
Name **PUJADAS, JUAN**  
Title(s) **DIRECTOR**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **09-05-2019**

NFA ID **0534329**  
Name **SANTOMASSIMO, MICHAEL**  
Title(s) **CHIEF FINANCIAL OFFICER**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **11-23-2020**

NFA ID **0288529**  
Name **SCHARF, CHARLES WILLIAM**  
Title(s) **CHIEF EXECUTIVE OFFICER**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **10-25-2019**

NFA ID **0482001**  
Name **SHARRETT, THAD MARCUS**  
Title(s) **HEAD OF BUSINESS UNIT, DIVISION OR FUNCTION**  
10% or More Interest **No**  
Status **APPROVED**  
Effective Date **10-23-2020**

NFA ID **0534066**  
Name **WAN, MAN YI MANDY**

Title(s)	<b>HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION</b>
10% or More Interest	<b>No</b>
Status	<b>APPROVED</b>
Effective Date	<b>01-07-2021</b>

NFA ID	<b>0457027</b>
Name	<b>WEISS, JONATHAN GEOFFREY</b>
Title(s)	<b>HEAD OF A BUSINESS UNIT, DIVISION OR FUNCTION</b>
10% or More Interest	<b>No</b>
Status	<b>APPROVED</b>
Effective Date	<b>04-13-2021</b>

#### **Holding Company Information**

NFA ID	<b>0451284</b>
Full Name	<b>WFC HOLDINGS LLC</b>
10% or More Interest	<b>Yes</b>
Status	<b>APPROVED</b>
Effective Date	<b>11-30-2012</b>



**Principal Name and Financial Interest**

Viewed on February 10, 2023

NFA ID 0399337 WELLS FARGO BANK NATIONAL ASSOCIATION

**Past Firms**

Sponsor ID	Sponsor Name	Title(s)	10% or more interest?
0299086	WELLS FARGO INVESTMENT INSTITUTE INC		Y



## Non-U.S. Regulator Information

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Viewed on February 10, 2023

NFA ID 0399337 WELLS FARGO BANK NATIONAL ASSOCIATION

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### List of Non-U.S. Regulator(s) During The Past 5 Years

Country	Regulator Name
BRAZIL	BANCO CENTRAL DO BRASIL/BRAZILIAN CENTRAL BANK
CAYMAN ISLANDS	CAYMAN ISLANDS MONETARY AUTHORITY
UNITED ARAB EMIRATES	DUBAI FINANCIAL SERVICES AUTHORITY
COLOMBIA	SUPERINTENDENCIA FINANCIERA DE COLOMBIA
VIETNAM	STATE BANK OF VIETNAM
TAIWAN (CHINESE TAIPEI)	FINANCIAL SUPERVISORY COMMISSION
INDIA	RESERVE BANK OF INDIA
CHINA	PEOPLES BANK OF CHINA
CHINA	CHINA BANKING REGULATORY COMMISSION
CANADA	OFFICE OF THE SUPERINTENDENT OF FINANCIAL INSTITUTIONS
REPUBLIC OF KOREA	BANK OF KOREA
AUSTRALIA	AUSTRALIAN PRUDENTIAL REGULATION AUTHORITY
REPUBLIC OF KOREA	FINANCIAL SERVICES COMMISSION/FINANCIAL SUPERVISORY SERVICE
REPUBLIC OF KOREA	MINISTRY OF FINANCE AND ECONOMY
CHINA	CHINA BANKING AND INSURANCE REGULATORY COMMISSION
UNITED KINGDOM	PRUDENTIAL REGULATORY AUTHORITY
UNITED KINGDOM	FINANCIAL CONDUCT AUTHORITY
HONG KONG	HONG KONG MONETARY AUTHORITY
SINGAPORE	MONETARY AUTHORITY OF SINGAPORE
JAPAN	BANK OF JAPAN
CHINA	STATE ADMINISTRATION OF FOREIGN EXCHANGE

TAIWAN            CENTRAL BANK OF THE REPUBLIC OF CHINA  
(CHINESE  
TAIPEI)

JAPAN            FINANCIAL SERVICES AGENCY

REPUBLIC OF    MINISTRY OF STRATEGY AND FINANCE  
KOREA



## Registration Contact Information

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Viewed on February 10, 2023

NFA ID 0399337 WELLS FARGO BANK NATIONAL ASSOCIATION

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First Name	RENEE
Last Name	ALLEN
Title	COMPLIANCE SR DIRECTOR
Street Address 1	550 SOUTH TRYON STREET
Street Address 2	6TH FLOOR
Street Address 3	MAC D1086-060
City	CHARLOTTE
State (United States only)	NORTH CAROLINA
Zip/Postal Code	28202
Country	UNITED STATES
Phone	704-410-2151
Fax	704-410-0238
Email	RENEE.ALLEN@WELLSFARGO.COM



## Enforcement/Compliance Communication Contact Information

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Viewed on February 10, 2023

NFA ID 0399337 WELLS FARGO BANK NATIONAL ASSOCIATION

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First Name	RENEE
Last Name	ALLEN
Title	SR DIRECTOR
Street Address 1	550 SOUTH TRYON STREET
Street Address 2	6TH FLOOR
Street Address 3	MAC D1086-060
City	CHARLOTTE
State (United States only)	NORTH CAROLINA
Zip/Postal Code	28202
Country	UNITED STATES
Phone	704-410-2151
Fax	704-410-0238
Email	RENEE.ALLEN@WELLSFARGO.COM

First Name	PAM
Last Name	FRAZIER
Title	OPERATIONAL RISK CONSULTANT
Street Address 1	550 S TRYON ST, 5TH FLOOR
Street Address 2	MAC D1086-051
City	CHARLOTTE
State (United States only)	NORTH CAROLINA
Zip/Postal Code	28202
Country	UNITED STATES
Phone	704-410-1916
Fax	704-383-1545
Email	PAM.FRAZIER@WELLSFARGO.COM

First Name	NICK
Last Name	IULIUCCI
Title	DIRECTOR
Street Address 1	150 E 42ND ST, 35TH FLOOR
Street Address 2	MAC J0161-359
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10017
Country	UNITED STATES
Phone	212-214-6907

Email **NICK.IULIUCCI@WELLSFARGO.COM**

First Name **PETER**  
Last Name **MACCHIO**  
Title **CHIEF COMPLIANCE OFFICER**  
Street Address 1 **500 W. 33RD STREET**  
Street Address 2 **30 HUDSON YARDS**  
City **NEW YORK**  
State (United States only) **NEW YORK**  
Zip/Postal Code **10001**  
Country **UNITED STATES**  
Phone **212-214-1109**  
Email **PETER.MACCHIO@WELLSFARGO.COM**

First Name **RAFFIE**  
Last Name **MARKARIAN**  
Title **COMPLIANCE MANAGER**  
Street Address 1 **375 PARK AVE**  
City **NEW YORK**  
State (United States only) **NEW YORK**  
Zip/Postal Code **10152**  
Country **UNITED STATES**  
Phone **212-214-5721**  
Email **RAFFIE.MARKARIAN@WELLSFARGO.COM**

First Name **STEPHEN**  
Last Name **MONTGOMERY**  
Title **COMPLIANCE MANAGER**  
Street Address 1 **10 S WACKER DR**  
City **CHICAGO**  
State (United States only) **ILLINOIS**  
Zip/Postal Code **60606**  
Country **UNITED STATES**  
Phone **312-368-6481**  
Email **STEPHEN.B.MONTGOMERY@WELLSFARGO.COM**





## Membership Information

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Viewed on February 10, 2023

NFA ID 0399337 WELLS FARGO BANK NATIONAL ASSOCIATION

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Indicate the category in which the Member intends to vote on NFA membership matters. **SWAP DEALER**

### U.S. Regulator Information

Is the firm currently regulated by any of the regulators listed below? **Yes**

**THE BOARD OF GOVERNORS OF THE FEDERAL RESERVE SYSTEM**  
**THE FARM CREDIT ASSOCIATION**  
**THE FEDERAL DEPOSIT INSURANCE CORPORATION**  
**THE FEDERAL HOUSING FINANCE AGENCY**  
**THE OFFICE OF THE COMPTROLLER OF THE CURRENCY**



## Membership Contact Information

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NFA ID 0399337 WELLS FARGO BANK NATIONAL ASSOCIATION

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### Membership Contact

First Name	RENEE
Last Name	ALLEN
Title	SR DIRECTOR
Street Address 1	550 SOUTH TRYON STREET
Street Address 2	6TH FLOOR
Street Address 3	MAC D1086-060
City	CHARLOTTE
State (United States only)	NORTH CAROLINA
Zip/Postal Code	28202
Country	UNITED STATES
Phone	704-410-2151
Fax	704-410-0238
Email	RENEE.ALLEN@WELLSFARGO.COM

### Accounting Contact

First Name	ILIANA
Last Name	DIMITROVA
Title	MANAGER
Street Address 1	DCS BROKERAGE
Street Address 2	301 S COLLEGE ST, 7TH FLOOR
Street Address 3	MAC D1053-070
City	CHARLOTTE
State (United States only)	NORTH CAROLINA
Zip/Postal Code	28202
Country	UNITED STATES
Phone	704-410-8491
Fax	704-383-0126
Email	DCSBROKERAGE@WELLSFARGO.COM

**Arbitration Contact**

First Name	STEPHEN
Last Name	MONTGOMERY
Title	COMPLIANCE DIRECTOR
Street Address 1	10 S WACKER DR
City	CHICAGO
State (United States only)	ILLINOIS
Zip/Postal Code	60606
Country	UNITED STATES
Phone	312-368-6481
Email	STEPHEN.B.MONTGOMERY@WELLSFARGO.COM

**Compliance Contact**

First Name	STEPHEN
Last Name	MONTGOMERY
Title	COMPLIANCE DIRECTOR
Street Address 1	10 S WACKER DR
City	CHICAGO
State (United States only)	ILLINOIS
Zip/Postal Code	60606
Country	UNITED STATES
Phone	312-368-6481
Email	STEPHEN.B.MONTGOMERY@WELLSFARGO.COM

**Chief Compliance Officer Contact**

First Name	PETER
Last Name	MACCHIO
Title	CHIEF COMPLIANCE OFFICER
Street Address 1	500 W. 33RD STREET
Street Address 2	30 HUDSON YARDS
City	NEW YORK
State (United States only)	NEW YORK
Zip/Postal Code	10007
Country	UNITED STATES
Phone	212-214-1109
Email	PETER.MACCHIO@WELLSFARGO.COM



# Online Registration System

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## Search

- For an Individual
- For a Firm, Holding Company or Sole Proprietor
- For a Pool
- By Social Security Number

## Disciplinary Information

- Disclosure Information
- List of Disciplinary Information
- Disclosure Questions

## Firm Profile

- Branch Office Manager List
- Swap Associated Person List
- Employee List (by office)
- Guarantee Agreement Information
- Exempt Foreign Firm Information
- Part 4 Exemptions

## Internal Processing

- View Registration Information
- Outstanding Requirements
- Application Withdrawal Date
- TL's Due to Withdraw
- Notices

## Registration and Membership

- Current Registration Status
- Registration History

## Hardcopies

- Filing History

## Branch Office Manager List

NFA ID 0399337

Enter

WELLS FARGO BANK NATIONAL ASSOCIATION

**No information available.**

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