

**BrokerCheck Report**

**KEITH ALLIN BAIER**

CRD# 4403569

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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 <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.

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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)

**KEITH A. BAIER**

CRD# 4403569

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

**WELLS FARGO CLEARING SERVICES, LLC**  
 1200 PITTSFORD VICTOR RD STE 100  
 PITTSFORD, NY 14534  
 CRD# 19616  
 Registered with this firm since: 02/09/2012

**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
- 14 U.S. states and territories

**This broker has passed:**

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

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

**MORGAN STANLEY SMITH BARNEY**  
 CRD# 149777  
 ROCHESTER, NY  
 06/2009 - 02/2012

**MORGAN STANLEY & CO. INCORPORATED**  
 CRD# 8209  
 ROCHESTER, NY  
 04/2007 - 06/2009

**MORGAN STANLEY DW INC.**  
 CRD# 7556  
 ROCHESTER, NY  
 07/2001 - 04/2007

**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 <https://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 14 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: H0004-050  
 ST. LOUIS, MO 63103**  
 Firm CRD#: **19616**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	02/09/2012
NYSE MKT LLC	General Securities Representative	APPROVED	02/09/2012
Nasdaq PHLX LLC	General Securities Representative	APPROVED	02/09/2012
Nasdaq Stock Market	General Securities Representative	APPROVED	02/09/2012
New York Stock Exchange	General Securities Representative	APPROVED	02/09/2012

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
California	Agent	APPROVED	02/09/2012	South Carolina	Agent	APPROVED	10/04/2016
Colorado	Agent	APPROVED	02/15/2012	Texas	Agent	APPROVED	03/05/2014
Florida	Agent	APPROVED	02/09/2012	Virginia	Agent	APPROVED	02/09/2012
Massachusetts	Agent	APPROVED	03/28/2014	Washington	Agent	APPROVED	01/17/2017
New Hampshire	Agent	APPROVED	07/19/2013	Wisconsin	Agent	APPROVED	02/26/2015
New Jersey	Agent	APPROVED	02/09/2012				
New York	Agent	APPROVED	02/09/2012				
North Carolina	Agent	APPROVED	02/10/2012				
Pennsylvania	Agent	APPROVED	02/09/2012				



## Broker Qualifications

### Employment 1 of 1, continued

#### Branch Office Locations

**WELLS FARGO CLEARING SERVICES, LLC**  
1200 PITTSFORD VICTOR RD STE 100  
PITTSFORD, NY 14534

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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 0 principal/supervisory exams, 2 general industry/product exams, 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	07/24/2001
Futures Managed Funds Examination	Series 31	08/24/2001

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	08/03/2001
Uniform Investment Adviser Law Examination	Series 65	08/31/2001

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/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
06/2009 - 02/2012	MORGAN STANLEY SMITH BARNEY	149777	ROCHESTER, NY
04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	ROCHESTER, NY
07/2001 - 04/2007	MORGAN STANLEY DW INC.	7556	ROCHESTER, 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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	PITTSFORD, NY
02/2012 - 11/2016	WELLS FARGO ADVISORS LLC	PITTSFORD, NY
06/2009 - 02/2012	MORGAN STANLEY SMITH BARNEY	ROCHESTER, NY
04/2007 - 02/2012	MORGAN STANLEY & CO., INCORPORATED	ROCHESTER, NY

### 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.

TOWNLEY HILL LLC, INV RELATED, TRAUMANSBURG, NY, START: 2012, 0 HOURS PER MONTH, DUTIES: PAY BILLS, ETC.

RENTAL PROPERTY, INV RELAEED, ITHICA, NY, 50% OWNER OF RENTAL HOME, START: 8/2006, 4 HOURS PER MONTH/0 DURING TRADING, DUTIES: MAINTENANCE.

## End of Report



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