

BrokerCheck Report

COLLEEN ROSE MCCAFFERY

CRD# 2594413

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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



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.

**COLLEEN R. MCCAFFERY**

CRD# 2594413

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

B TRUIST INVESTMENT SERVICES, INC.
 227 W MONROE ST
 STE 2120
 CHICAGO, IL 60606
 CRD# 17499
 Registered with this firm since: 04/29/2022

IA TRUIST ADVISORY SERVICES, INC.
 227 WEST MONROE STREET
 SUITE 2120
 CHICAGO, IL 60606
 CRD# 283390
 Registered with this firm since: 04/29/2022

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:**

- 1 Self-Regulatory Organization
- 18 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):**

- B WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 NORTHBROOK, IL
 01/2011 - 05/2022
- IA WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 ST. LOUIS, MO
 01/2011 - 05/2022
- IA WELLS FARGO INVESTMENTS, LLC**
 CRD# 10582
 SAN FRANCISCO, CA
 12/2001 - 01/2011

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 1 SRO and is licensed in 18 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **TRUIST ADVISORY SERVICES, INC.**
 Main Office Address: **303 PEACHTREE CENTER AVENUE,
 TRUIST GARDEN OFFICES SUITE 140
 ATLANTA, GA 30303**
 Firm CRD#: **283390**

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	04/29/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	01/24/2023

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Employment 2 of 2

Firm Name: **TRUIST INVESTMENT SERVICES, INC.**
 Main Office Address: **303 PEACHTREE CENTER AVE
 SUITE 140
 ATLANTA, GA 30303**
 Firm CRD#: **17499**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/29/2022
	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	11/16/2022

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	04/29/2022
B	Colorado	Agent	Approved	04/29/2022
B	Connecticut	Agent	Approved	04/29/2022
B	Florida	Agent	Approved	04/29/2022
B	Georgia	Agent	Approved	04/29/2022
B	Illinois	Agent	Approved	04/29/2022
B	Indiana	Agent	Approved	04/29/2022
B	Massachusetts	Agent	Approved	08/02/2022
B	Michigan	Agent	Approved	04/29/2022
B	New Hampshire	Agent	Approved	04/29/2022
B	New Jersey	Agent	Approved	04/29/2022
B	New York	Agent	Approved	04/29/2022
B	North Carolina	Agent	Approved	11/07/2022
B	Ohio	Agent	Approved	04/29/2022
B	Texas	Agent	Approved	04/29/2022
B	Utah	Agent	Approved	06/09/2022
B	Wisconsin	Agent	Approved	05/17/2022

Branch Office Locations

TRUIST INVESTMENT SERVICES, INC.
 227 W MONROE ST
 STE 2120
 CHICAGO, IL 60606

Broker Qualifications



Employment 2 of 2, continued



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
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	03/14/1995

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/09/1999
B Uniform Securities Agent State Law Examination	Series 63	09/05/1995

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/.

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
B 01/2011 - 05/2022	WELLS FARGO CLEARING SERVICES, LLC	19616	NORTHBROOK, IL
IA 01/2011 - 05/2022	WELLS FARGO CLEARING SERVICES, LLC	19616	NORTHBROOK, IL
IA 12/2001 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	CHICAGO, IL
B 02/2001 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	CHICAGO, IL
B 12/1998 - 01/2001	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 08/1996 - 01/1999	FIRST CHICAGO NBD INVESTMENT SERVICES, INC.	17516	CHICAGO, IL
B 03/1995 - 08/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	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	Employer Name	Position	Investment Related	Employer Location
04/2022 - Present	TRUIST ADVISORY SERVICES, INC.	ADVISOR	Y	ATLANTA, GA, United States
04/2022 - Present	TRUIST INVESTMENT SERVICES, INC.	FINANCIAL ADVISOR	Y	ATLANTA, GA, United States
11/2016 - 04/2022	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	CHICAGO, IL, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	CHICAGO, IL, 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.

Registration and Employment History



Other Business Activities, continued

MOONLIGHT TEN LLC.

POSITION: Owner NATURE: Rental Property INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 05/15/2015

ADDRESS: , Big Sky MT , United States

DESCRIPTION: Property Owner

SPANISH SKY LLC

POSITION: Owner NATURE: Rental Property INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 10/05/2018

ADDRESS: , Big Sky MT , United States

DESCRIPTION: Property Owner

End of Report



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