

Brian A. Stern

Brian Stern, H.D. Vest's General Counsel, has been with the company since July 2004. After graduating from New York University School of Law in 1993, Brian clerked for the Honorable John M. Walker, Jr., on the United States Court of Appeals for the Second Circuit. From 1994 to 1997, he was an associate with the law firm Debevoise & Plimpton in Washington, D.C, where his practice focused on securities class action and corporate derivative litigation. From 1997 to 1999, Brian was Senior Counsel in the Division of Enforcement at the U.S. Securities & Exchange Commission (SEC). After leaving the SEC, Brian became Associate General Counsel – Corporate and Compliance with American General Financial Group in Houston, Texas, where he was responsible for the company's corporate, securities and broker/dealer compliance programs. From March 2002 until joining Wells Fargo & Company in July 2004, Brian served as counsel to former SEC Commissioner Cynthia A. Glassman. During his time at Wells Fargo, Brian served as Senior Company Counsel in the Wealth, Brokerage & Retirement Division, where his responsibilities included providing legal services to Wells Fargo's retail broker-dealers, including H.D. Vest. Brian took over the role of H.D. Vest General Counsel when Wells Fargo sold the company on October 3, 2011.

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