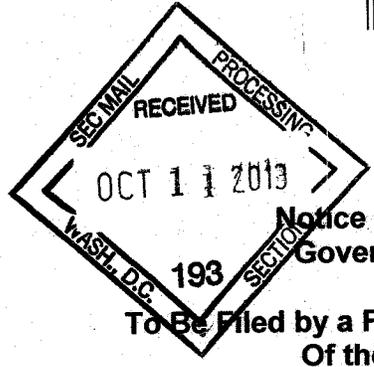


11-00387

OMB # 1557-0184
EXPIRES 5/31/2013



13026450



Form G-FIN /A

**Notice of Government Securities Broker or
Government Securities Dealer Activities**

**To Be Filed by a Financial Institution Under Section 15C(a)(1)(B)
Of the Securities Exchange Act of 1934**

1. Appropriate regulatory agency (check one):

- A. Comptroller of the Currency
- B. Board of Governors of the Federal Reserve System
- C. Federal Deposit Insurance Corporation
- D. Office of Thrift Supervision
- E. Securities and Exchange Commission

2. Filing Status of notice (check as applicable):

- A. Government Securities Broker
- B. Government Securities Dealer
- C. Government Securities Broker & Dealer

3. Filing status of notice (check as applicable):

- A. Notice
- B. Amendment

4. A. Full name of the Financial Institution:

Bank of America, N.A.

B. Address of principal office of Financial Institution:

100 North Tryon Street, Charlotte, NC 28255

C. Address of principal office where government securities broker or government securities dealer activities will be conducted (if different than item (B)):

214 N. Tryon Street, Charlotte, NC 28255

D. Mailing address if different from (B) or (C):

4802 Deer Lake Dr E, FL9-801-02-12, Jacksonville FL 32246

E. Name, title and telephone number of contact person with respect to this notice:

Jane R. Michael	VP/Senior Registration Manager	904.218.4044
Name	Title	Telephone

5. Does the Financial Institution conduct, or will it conduct, government securities broker or government securities dealer activities at any location other than given in Question 4 above? (If yes, provide addresses and describe activities.) A. Yes B. No

- 3455 Peachtree Rd NE, Ste 200, Atlanta, GA 30326
- 901 Main Street, Dallas, TX 75202
- 101 California St., San Francisco, CA 94111
- One Bryant Park, New York, NY 10036
- 1 Financial Center, Boston, MA 02111

(#5 continued)

701 Brickell Ave., Miami, FL 33131

540 W Madison St, Chicago, IL 60661

200 N. College Street, Charlotte, NC 29255

6. Furnish the name and title of each person who is directly engaged in the management, direction or supervision of any of the Financial Institution's government securities broker or government securities dealer activities:

Last	First	Middle	Title
AIRING	BRADLEY	TODD	MANAGING DIRECTOR
BERRETTA	FREDERICK	RAY	MANAGING DIRECTOR
* BOOKER	RHONDA	C.	DIRECTOR
DA SILVA	FABIO	APARECIDO	MANAGING DIRECTOR
DE MARE	JAMES	P.	MANAGING DIRECTOR
* ERICKSON	JULIA	ANN	VICE PRESIDENT
* EVERETT	ELIZABETH	CAMPBELL	MANAGING DIRECTOR
* GRILLO	ROBERT	MITCHELL	MANAGING DIRECTOR
GUARDINO	JOSEPH	ANTHONY	MANAGING DIRECTOR
HAMMONTREE	KATHY	D.	DIRECTOR
HOLLENDER	STEVEN	IRA	MANAGING DIRECTOR
* MANELSKI	DENIS	MARTIN	MANAGING DIRECTOR
MAZER	JEFFREY	ALAN	DIRECTOR
MILLER	MICHAEL	WILLIAM	MANAGING DIRECTOR
MOONEY	STEPHEN	R.	DIRECTOR
MULLEN	THOMAS	COOPER	MANAGING DIRECTOR
* MURPHY	PAUL	WILLIAM	MANAGING DIRECTOR
SCHUER	CHRISTOPHER	CHARLES	DIRECTOR
* SEITZ	RICHARD	STEVEN	MANAGING DIRECTOR
WALSH	CHRISTOPHER	GREG	DIRECTOR
* WHITE III	JULIAN (IAN)	B.	DIRECTOR
WYATT, III	ROBERT	THEODORE	MANAGING DIRECTOR

Note: Attach a separate Form G-Fin-4 (or, if previously filed, a copy of Form MSD-4 or Form U-4) for each person named in response to Item 6.

* New names added

7. Has any "associated person" (see definition in paragraph A.7. of the Instructions) responded "yes" to any question in Item 17 of Form G-Fin-4, or "yes" to one or more questions in Items 20 through 25 of Form MSD-4 or Item 22 on Form U-4?

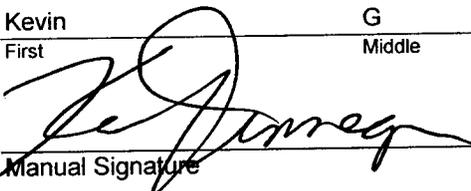
A. Yes B. No

(If yes, attach a copy of Form G-FIN-4, Form MSD-4, or Form U4 for all such persons with this Notice).

Note: The financial institution and the person executing this form are responsible for making an inquiry of all other employers of any associated person during the immediately preceding three years for the purpose of verifying the accuracy of the information furnished on Form G-FIN-4. (See 17 C.F.R. 400.4(c). Similar requirements are applicable to Form MSD-4 and Form U-4.)

8. The financial institution submitting this notice and the person executing it represent that all of the information contained herein is true, current and complete.

Please print name and title of person executing this notice:

Kevin	G	Finnegan	Managing Director
First	Middle	Last	Title
			10-08-2013
Manual Signature			Date

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

Request Submitted: 10/9/2013 3:22:17 PM

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Notice

CRD® or IARD(TM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information.

FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA).

FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators.

Reportable Information: Information that is required to be reported on the current version of the uniform registration forms.

Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

Request Submitted: 10/9/2013 3:22:17 PM

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Details for Request#: 12436613
Report: Snapshot - Individual
Requested By: TLW

<u>Parameter Name</u>	<u>Value</u>
Request by CRD# or SSN:	CRD#
Individual CRD# or SSN	2037908
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business?	Yes
Include Exam Information?	Yes
Include Continuing Education Information? (CRD Only)	Yes
Include Filing History? (CRD Only)	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information? (CRD Only)	Yes
Is this a Pre-Registration Report Request? (CRD Only)	No

Individual 2037908 - BOOKER, RHONDA COLLINS

Administrative Information

Composite Information

Full Legal Name BOOKER, RHONDA COLLINS

State of Residence NC

Active Employments

Current Employer MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Firm Main Address ONE BRYANT PARK
NEW YORK
NY, UNITED STATES
10036

Firm Mailing Address 222 BROADWAY
NY3-222-12-05
NEW YORK
NY, UNITED STATES
10038

Business Telephone# 800-637-7455

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
457029	GM-CLT02	GM-CLT02	Yes	No	11/01/2010		Located At
Address 214 NORTH TRYON ST CHARLOTTE, NC 28255 UNITED STATES							

Reportable Disclosures? The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5).
Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutory Disqualification? BLNK

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information

Individual CRD# 2037908

Other Names Known By BOOKER, RHONDA COLLINS

Year of Birth 1962

Individual 2037908 - BOOKER, RHONDA COLLINS

Administrative Information**Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
From 11/01/2010 To Present		MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)		
AK	AG	11/01/2010	APPROVED	11/01/2010
AL	AG	11/01/2010	APPROVED	11/01/2010
AR	AG	11/01/2010	APPROVED	11/01/2010
ARCA	GP	04/18/2012	APPROVED	04/18/2012
ARCA	GS	11/01/2010	APPROVED	11/01/2010
AZ	AG	11/01/2010	APPROVED	11/01/2010
BOX	GP	05/14/2012	APPROVED	05/14/2012
BOX	GS	05/14/2012	APPROVED	05/14/2012
BX	GP	11/01/2010	APPROVED	11/01/2010
BX	GS	11/01/2010	APPROVED	11/01/2010
CA	AG	11/01/2010	APPROVED	11/01/2010
CBOE	GS	11/03/2010	APPROVED	11/03/2010
CHX	GP	11/01/2010	APPROVED	11/01/2010
CHX	GS	11/01/2010	APPROVED	11/01/2010
CHX	MP	11/01/2010	APPROVED	11/01/2010
CO	AG	11/01/2010	APPROVED	11/01/2010
CT	AG	11/01/2010	APPROVED	11/01/2010
DC	AG	11/01/2010	APPROVED	11/01/2010
DE	AG	11/01/2010	APPROVED	11/01/2010
FINRA	GP	11/01/2010	APPROVED	11/01/2010
FINRA	GS	11/01/2010	APPROVED	11/01/2010
FINRA	MP	11/01/2010	APPROVED	11/01/2010
FL	AG	11/01/2010	APPROVED	11/01/2010
GA	AG	11/01/2010	APPROVED	11/01/2010
HI	AG	11/01/2010	APPROVED	11/01/2010
IA	AG	11/01/2010	APPROVED	11/01/2010
ID	AG	11/01/2010	APPROVED	11/01/2010
IL	AG	11/01/2010	APPROVED	11/01/2010
IN	AG	11/01/2010	APPROVED	11/01/2010
ISE	GP	04/18/2012	APPROVED	04/18/2012
ISE	GS	04/18/2012	APPROVED	04/18/2012
KS	AG	11/01/2010	APPROVED	11/01/2010
KY	AG	11/01/2010	APPROVED	11/01/2010
LA	AG	11/01/2010	APPROVED	11/01/2010
MA	AG	11/01/2010	APPROVED	11/01/2010
MD	AG	11/01/2010	APPROVED	11/01/2010
ME	AG	11/01/2010	APPROVED	11/01/2010
MI	AG	11/01/2010	APPROVED	11/01/2010
MN	AG	11/01/2010	APPROVED	11/01/2010
MO	AG	11/01/2010	APPROVED	11/01/2010
MS	AG	11/01/2010	APPROVED	11/01/2010

Individual 2037908 - BOOKER, RHONDA COLLINS**Administrative Information****Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
MT	AG	11/01/2010	APPROVED	11/01/2010
NC	AG	11/01/2010	APPROVED	11/01/2010
ND	AG	11/01/2010	APPROVED	11/01/2010
NE	AG	11/01/2010	APPROVED	11/01/2010
NH	AG	11/01/2010	APPROVED	11/01/2010
NJ	AG	11/01/2010	APPROVED	11/01/2010
NM	AG	11/01/2010	APPROVED	11/01/2010
NQX	GP	11/01/2010	APPROVED	11/01/2010
NQX	GS	11/01/2010	APPROVED	11/01/2010
NV	AG	11/01/2010	APPROVED	11/01/2010
NY	AG	11/01/2010	APPROVED	11/01/2010
NYSE	GP	11/01/2010	APPROVED	11/01/2010
NYSE	GS	11/01/2010	APPROVED	11/01/2010
NYSE	MP	11/01/2010	APPROVED	11/01/2010
NYSE-MKT	GP	11/01/2010	APPROVED	11/01/2010
NYSE-MKT	GS	11/01/2010	APPROVED	11/01/2010
NYSE-MKT	MP	11/01/2010	APPROVED	11/01/2010
OH	AG	11/01/2010	APPROVED	11/01/2010
OK	AG	11/01/2010	APPROVED	11/01/2010
OR	AG	11/01/2010	APPROVED	11/01/2010
PA	AG	11/01/2010	APPROVED	11/01/2010
PHLX	GP	04/18/2012	APPROVED	04/18/2012
PHLX	GS	11/01/2010	APPROVED	11/01/2010
PR	AG	11/01/2010	APPROVED	11/01/2010
RI	AG	11/01/2010	APPROVED	11/01/2010
SC	AG	11/01/2010	APPROVED	11/01/2010
SD	AG	11/01/2010	APPROVED	11/01/2010
TN	AG	11/01/2010	APPROVED	11/01/2010
TX	AG	11/01/2010	APPROVED	11/01/2010
UT	AG	11/01/2010	APPROVED	11/01/2010
VA	AG	11/01/2010	APPROVED	11/01/2010
VI	AG	02/01/2011	APPROVED	02/01/2011
VT	AG	11/01/2010	APPROVED	11/01/2010
WA	AG	11/01/2010	APPROVED	11/01/2010
WI	AG	11/01/2010	APPROVED	11/01/2010
WV	AG	11/01/2010	APPROVED	11/01/2010
WY	AG	11/01/2010	APPROVED	11/01/2010

Registrations with Previous Employer(s)

From 04/01/2000 To 11/01/2010 BANC OF AMERICA SECURITIES LLC(26091)

Reason for Termination Voluntary

Termination Comment MASS TRANSFER = 167165

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

Request Submitted: 10/9/2013 3:22:17 PM

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Individual 2037908 - BOOKER, RHONDA COLLINS**Administrative Information****Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	11/01/2010	MASS_TRNSF	10/17/2005
AL	AG	11/01/2010	MASS_TRNSF	10/17/2005
AR	AG	11/01/2010	MASS_TRNSF	10/17/2005
ARCA	GS	11/01/2010	MASS_TRNSF	11/05/2002
AZ	AG	11/01/2010	MASS_TRNSF	07/05/2005
BX	GP	11/01/2010	MASS_TRNSF	11/05/2002
BX	GS	11/01/2010	MASS_TRNSF	11/05/2002
CA	AG	11/01/2010	MASS_TRNSF	05/04/2000
CBOE	GS	05/03/2010	T_NOU5	02/23/2006
CHX	GP	11/01/2010	MASS_TRNSF	11/05/2002
CHX	GS	11/01/2010	MASS_TRNSF	11/05/2002
CHX	MP	11/01/2010	MASS_TRNSF	11/05/2002
CO	AG	11/01/2010	MASS_TRNSF	05/04/2000
CT	AG	11/01/2010	MASS_TRNSF	05/04/2000
DC	AG	11/01/2010	MASS_TRNSF	05/08/2000
DE	AG	11/01/2010	MASS_TRNSF	05/05/2000
FINRA	GP	11/01/2010	MASS_TRNSF	08/08/2000
FINRA	GS	11/01/2010	MASS_TRNSF	05/04/2000
FINRA	MP	11/01/2010	MASS_TRNSF	05/04/2000
FINRA	IB	10/15/2010	TERMED	04/01/2010
FL	AG	11/01/2010	MASS_TRNSF	05/08/2000
GA	AG	11/01/2010	MASS_TRNSF	05/04/2000
HI	AG	11/01/2010	MASS_TRNSF	10/17/2005
IA	AG	11/01/2010	MASS_TRNSF	05/04/2000
ID	AG	11/01/2010	MASS_TRNSF	10/17/2005
IL	AG	11/01/2010	MASS_TRNSF	05/17/2000
IN	AG	11/01/2010	MASS_TRNSF	05/04/2000
KS	AG	11/01/2010	MASS_TRNSF	05/05/2000
KY	AG	11/01/2010	MASS_TRNSF	05/08/2000
LA	AG	11/01/2010	MASS_TRNSF	10/17/2005
MA	AG	11/01/2010	MASS_TRNSF	05/16/2000
MD	AG	11/01/2010	MASS_TRNSF	05/05/2000
ME	AG	11/01/2010	MASS_TRNSF	11/07/2000
MI	AG	11/01/2010	MASS_TRNSF	05/04/2000
MN	AG	11/01/2010	MASS_TRNSF	05/04/2000
MO	AG	11/01/2010	MASS_TRNSF	05/05/2000
MS	AG	11/01/2010	MASS_TRNSF	05/08/2000
MT	AG	11/01/2010	MASS_TRNSF	10/17/2005
NC	AG	11/01/2010	MASS_TRNSF	05/04/2000
ND	AG	11/01/2010	MASS_TRNSF	10/17/2005
NE	AG	11/01/2010	MASS_TRNSF	10/17/2005
NH	AG	11/01/2010	MASS_TRNSF	05/05/2000

Individual 2037908 - BOOKER, RHONDA COLLINS

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NJ	AG	11/01/2010	MASS_TRNSF	05/25/2000
NM	AG	11/01/2010	MASS_TRNSF	10/17/2005
NQX	GP	11/01/2010	MASS_TRNSF	07/12/2006
NQX	GS	11/01/2010	MASS_TRNSF	07/12/2006
NSX	GP	04/13/2005	T_NOU5	11/05/2002
NSX	GS	04/13/2005	T_NOU5	11/05/2002
NSX	MP	04/13/2005	T_NOU5	11/05/2002
NV	AG	11/01/2010	MASS_TRNSF	05/05/2000
NY	AG	11/01/2010	MASS_TRNSF	07/03/2000
NYSE	GP	11/01/2010	MASS_TRNSF	06/26/2010
NYSE	GS	11/01/2010	MASS_TRNSF	07/15/2000
NYSE	MP	11/01/2010	MASS_TRNSF	06/26/2010
NYSE-MKT	GP	11/01/2010	MASS_TRNSF	02/23/2006
NYSE-MKT	GS	11/01/2010	MASS_TRNSF	11/05/2002
NYSE-MKT	MP	11/01/2010	MASS_TRNSF	02/23/2006
OH	AG	11/01/2010	MASS_TRNSF	05/04/2000
OK	AG	11/01/2010	MASS_TRNSF	10/17/2005
OR	AG	11/01/2010	MASS_TRNSF	11/20/2001
OR	AG	06/09/2000	T_NOREG	
PA	AG	11/01/2010	MASS_TRNSF	05/04/2000
PHLX	GS	11/01/2010	MASS_TRNSF	11/05/2002
PR	AG	11/01/2010	MASS_TRNSF	10/27/2003
RI	AG	11/01/2010	MASS_TRNSF	05/04/2000
SC	AG	11/01/2010	MASS_TRNSF	05/04/2000
SD	AG	11/01/2010	MASS_TRNSF	10/17/2005
TN	AG	11/01/2010	MASS_TRNSF	05/05/2000
TX	AG	11/01/2010	MASS_TRNSF	05/04/2000
UT	AG	11/01/2010	MASS_TRNSF	05/04/2000
VA	AG	11/01/2010	MASS_TRNSF	05/05/2000
VT	AG	11/01/2010	MASS_TRNSF	05/05/2000
WA	AG	11/01/2010	MASS_TRNSF	05/04/2000
WI	AG	11/01/2010	MASS_TRNSF	05/05/2000
WV	AG	11/01/2010	MASS_TRNSF	05/04/2000
WY	AG	11/01/2010	MASS_TRNSF	10/17/2005

From 02/01/1991 To 10/02/1996 NATIONSBANC CAPITAL MARKETS, INC.(26091)

Reason for Termination Other

Termination Comment OTH; CORPORATE RESTRUCTURING

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CA	AG	10/09/1996	TERMED	09/21/1995
CT	AG	10/09/1996	TERMED	02/17/1993
DC	AG	10/09/1996	TERMED	02/26/1993
DE	AG	10/09/1996	TERMED	12/21/1993

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

Request Submitted: 10/9/2013 3:22:17 PM

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Individual 2037908 - BOOKER, RHONDA COLLINS

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	10/09/1996	TERMED	02/06/1991
FINRA	RG	10/09/1996	TERMED	02/06/1991
FL	AG	10/09/1996	TERMED	02/08/1991
IL	AG	10/09/1996	TERMED	01/06/1993
KS	AG	10/09/1996	TERMED	02/17/1993
KY	AG	10/09/1996	TERMED	01/07/1993
MA	AG	10/09/1996	TERMED	02/17/1993
MN	AG	10/09/1996	TERMED	03/04/1994
MO	AG	10/09/1996	TERMED	12/22/1993
NC	AG	10/09/1996	TERMED	02/06/1991
NJ	AG	10/09/1996	TERMED	10/29/1993
NY	AG	10/09/1996	TERMED	01/06/1993
OH	AG	10/09/1996	TERMED	01/07/1993
PA	AG	10/09/1996	TERMED	01/06/1993
SC	AG	10/09/1996	TERMED	02/11/1991
TN	AG	10/09/1996	TERMED	07/09/1996
TX	AG	10/09/1996	TERMED	02/06/1991
VT	AG	10/09/1996	TERMED	05/14/1996

From 02/13/1990 To 02/01/1991 NCNB SECURITIES, INC.(16361)

Reason for Termination Other

Termination Comment OTH; TRANSFER TO AFFILIATE

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	02/04/1991	TERMED	03/20/1990
FINRA	RG	02/04/1991	TERMED	02/22/1990
FL	AG	02/04/1991	TERMED	05/29/1990
NC	AG	02/04/1991	TERMED	05/29/1990
SC	AG	02/04/1991	TERMED	04/25/1990
TX	AG	02/04/1991	TERMED	06/05/1990

Individual 2037908 - BOOKER, RHONDA COLLINS

Administrative Information

Professional Designations

<<No Professional Designations found for this Individual.>>

Employment History

From	11/2010	To	Present	Name	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
				Location	CHARLOTTE, NC
				Position	Mass Transfer
				Investment Related	Yes
From	11/1996	To	Present	Name	BANK OF AMERICA
				Location	CHARLOTTE, NC, USA
				Position	INVESTMENT SALES
				Investment Related	Yes
From	04/2000	To	11/2010	Name	BANC OF AMERICA SECURITIES LLC
				Location	CHARLOTTE, NC, USA
				Position	INVESTMENT SALES
				Investment Related	Yes
From	02/1991	To	10/1996	Name	NATIONSBANC CAPITAL MARKETS, INC.
				Location	CHARLOTTE, NC
				Position	NOT PROVIDED
				Investment Related	Yes
From	02/1990	To	02/1991	Name	NCNB SECURITIES, INC.
				Location	CHARLOTTE, NC
				Position	NOT PROVIDED
				Investment Related	Yes
From	11/1989	To	02/1991	Name	NCNB NATIONAL BANK
				Location	CHARLOTTE, NC
				Position	OTHER - FUNDS MANAGEMENT OFFICER
				Investment Related	No
From	08/1985	To	10/1989	Name	FEDERAL HOME LOAN BANK OF ATLANTA
				Location	CHARLOTTE, NC
				Position	OTHER - EXAMINER III
				Investment Related	No

Office of Employment History

From 11/2010 To Present

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Request Submitted: 10/9/2013 3:22:17 PM

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Individual 2037908 - BOOKER, RHONDA COLLINS

Administrative Information

Office of Employment History

Name MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
457029	GM-CLT02	GM-CLT02	Yes	No	11/01/2010		Located At
Address 214 NORTH TRYON ST CHARLOTTE, NC 28255 UNITED STATES							

From 04/2000 To 11/2010

Name BANC OF AMERICA SECURITIES LLC(26091)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
150120	89	89	Yes	No	06/12/2006	11/01/2010	Located At
Address 214 NORTH TRYON ST CHARLOTTE, NC 28255 UNITED STATES							
		0907053	No	No	04/01/2000	06/12/2006	Located At
Address 214 NORTH TRYON STREET CHARLOTTE, NC 28255 UNITED STATES							

From 02/1991 To 10/1996

Name NATIONSBANC CAPITAL MARKETS, INC.(26091)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	02/01/1991	10/02/1996	Located At
Address NATIONSBANK CORPORATE CENTER, 100 N. TRYON STREET CHARLOTTE, NC 28255							

From 02/1990 To 02/1991

Name NCNB SECURITIES, INC.(16361)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	02/13/1990	02/01/1991	Located At
Address ONE NCNB PLAZA							

CRD® or IARD(TM) System Current As Of: 10/08/2013

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Individual 2037908 - BOOKER, RHONDA COLLINS

Administrative Information

Office of Employment History

Office of Employment Address

CHARLOTTE, NC 28255

Other Business

<<No Other Business found for this Individual.>>

Exam Appointments

<<No Exam Appointments found for this Individual.>>

Exam History

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S7	19974017	Withdraw	09/12/2000				05/30/2000-09/27/2000
S7	19974016	Official Waiver	05/04/2000				-
S7	19974015	Official Result	03/17/1990	03/17/1990	Passed	90	-
S24	19974011	Official Result	08/08/2000	08/07/2000	Passed	81	04/12/2000-08/10/2000
S53	19974012	Official Waiver	05/04/2000				04/12/2000-08/10/2000
S63	19974014	Official Result	04/25/2000	04/22/2000	Passed	82	04/12/2000-08/10/2000
S63	19974013	Official Result	04/23/1990	04/23/1990	Passed	86	-

CE Regulatory Element Status

Current CE Status SATISFIED

CE Base Date 05/04/2000

CE Appointments

<<No CE Appointments found for this Individual.>>

Current CE

<<No Current CE found for this Individual.>>

Next CE

Window Dates	Requirement Type	Session
05/04/2014-08/31/2014	Anniversary	201

CE Directed Sequence History

<<No CE Directed Sequence History found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Dates found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201	SATISFIED	06/30/2011	05/04/2011-08/31/2011	06/30/2011 - CMPLT
Anniversary	201	REQUIRED	05/04/2011	05/04/2011-08/31/2011	
Anniversary	201	SATISFIED	05/29/2008	05/04/2008-08/31/2008	05/29/2008 - CMPLT
Anniversary	201	REQUIRED	05/05/2008	05/04/2008-08/31/2008	
Anniversary	201	SATISFIED	07/15/2005	05/04/2005-08/31/2005	07/15/2005 - CMPLT
Anniversary	201	REQUIRED	05/04/2005	05/04/2005-08/31/2005	
Anniversary	201	SATISFIED	07/22/2002	05/04/2002-08/31/2002	07/22/2002 - CMPLT

CRD® or IARD(TM) System Report -- See notice regarding CRD Data on cover page.

Individual 2037908 - BOOKER, RHONDA COLLINS

Administrative Information**Previous CE Requirement Status**

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201	REQUIRED	05/05/2002	05/04/2002-08/31/2002	

Filing History

Filing Date	Form Type	Filing type	Source
06/17/2013	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
10/12/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
05/14/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/18/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/12/2011	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
02/01/2011	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/15/2010	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/03/2010	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	BANC OF AMERICA SECURITIES LLC (26091)
10/15/2010	U5	Partial	BANC OF AMERICA SECURITIES LLC (26091)
06/26/2010	U4	Admin	NYSE
05/11/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/19/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/01/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
05/18/2009	U4	Upload - New U4 Questions	BANC OF AMERICA SECURITIES LLC (26091)
08/05/2006	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
07/29/2006	U4	Conversion	BANC OF AMERICA SECURITIES LLC (26091)
06/16/2006	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
02/23/2006	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
10/17/2005	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
07/05/2005	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
06/27/2005	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/26/2004	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
10/27/2003	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
11/05/2002	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
11/20/2001	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
11/06/2000	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
06/09/2000	U5	Partial	BANC OF AMERICA SECURITIES LLC (26091)
04/11/2000	U4	Initial	BANC OF AMERICA SECURITIES LLC (26091)

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

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Individual 2037908 - BOOKER, RHONDA COLLINS

Filing History

Filing Date	Form Type	Filing type	Source
07/05/1999	U5	Conversion	BANC OF AMERICA SECURITIES LLC (26091)
07/05/1999	U4	Conversion	BANC OF AMERICA SECURITIES LLC (26091)
07/05/1999	U5	Conversion	BANC OF AMERICA INVESTMENT SERVICES, INC. (16361)
07/05/1999	U4	Conversion	BANC OF AMERICA INVESTMENT SERVICES, INC. (16361)

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
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Individual 2037908 - BOOKER, RHONDA COLLINS

Reportable Events

<<No Reportable Events found for this Individual.>>

Regulator Archive and Z Records

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

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Notice

CRD® or IARD(TM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information.

FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA).

FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators.

Reportable Information: Information that is required to be reported on the current version of the uniform registration forms.

Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

CRD® or IARD(TM) System Current As Of: 10/08/2013

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Details for Request#: 12436624
Report: Snapshot - Individual
Requested By: TLW

<u>Parameter Name</u>	<u>Value</u>
Request by CRD# or SSN:	CRD#
Individual CRD# or SSN	1411581
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business?	Yes
Include Exam Information?	Yes
Include Continuing Education Information? (CRD Only)	Yes
Include Filing History? (CRD Only)	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information? (CRD Only)	Yes
Is this a Pre-Registration Report Request? (CRD Only)	No

CRD® or IARD(TM) System Current As Of: 10/08/2013

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Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information

Composite Information

Full Legal Name ERICKSON, JULIA ANN

State of Residence TX

Active Employments

Current Employer MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Firm Main Address ONE BRYANT PARK
NEW YORK
NY, UNITED STATES
10036

Firm Mailing Address 222 BROADWAY
NY3-222-12-05
NEW YORK
NY, UNITED STATES
10038

Business Telephone# 800-637-7455

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
457028	GM-DAL02	GM-DAL02	Yes	No	11/01/2010		Located At

Address 901 MAIN STREET
DALLAS, TX 75202 UNITED STATES

Reportable Disclosures? Yes

Statutory Disqualification? BLNK

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information

Individual CRD# 1411581

Other Names Known By ERICKSON, JULI
HALL, JULIA ANN

Year of Birth 1961

Registrations with Current Employer(s)

From 11/01/2010 To Present MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	11/01/2010	APPROVED	11/01/2010
AL	AG	11/01/2010	APPROVED	11/01/2010

Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information**Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AR	AG	11/01/2010	APPROVED	11/01/2010
ARCA	GP	04/18/2012	APPROVED	04/18/2012
ARCA	GS	11/01/2010	APPROVED	11/01/2010
AZ	AG	11/01/2010	APPROVED	11/01/2010
BOX	GP	05/14/2012	APPROVED	05/14/2012
BOX	GS	05/14/2012	APPROVED	05/14/2012
BX	GP	11/01/2010	APPROVED	11/01/2010
BX	GS	11/01/2010	APPROVED	11/01/2010
CA	AG	11/01/2010	APPROVED	11/01/2010
CBOE	GS	11/01/2010	APPROVED	11/01/2010
CHX	GP	11/01/2010	APPROVED	11/01/2010
CHX	GS	11/01/2010	APPROVED	11/01/2010
CHX	MP	11/01/2010	APPROVED	11/01/2010
CO	AG	11/01/2010	APPROVED	11/01/2010
CT	AG	11/01/2010	APPROVED	11/01/2010
DC	AG	11/01/2010	APPROVED	11/01/2010
DE	AG	11/01/2010	APPROVED	11/01/2010
FINRA	GP	11/01/2010	APPROVED	11/01/2010
FINRA	GS	11/01/2010	APPROVED	11/01/2010
FINRA	MP	11/01/2010	APPROVED	11/01/2010
FL	AG	11/01/2010	APPROVED	11/01/2010
GA	AG	11/01/2010	APPROVED	11/01/2010
HI	AG	11/01/2010	APPROVED	11/01/2010
IA	AG	11/01/2010	APPROVED	11/01/2010
ID	AG	11/01/2010	APPROVED	11/01/2010
IL	AG	11/01/2010	APPROVED	11/01/2010
IN	AG	11/01/2010	APPROVED	11/01/2010
ISE	GP	04/18/2012	APPROVED	04/18/2012
ISE	GS	04/18/2012	APPROVED	04/18/2012
KS	AG	11/01/2010	APPROVED	11/01/2010
KY	AG	11/01/2010	APPROVED	11/01/2010
LA	AG	11/01/2010	APPROVED	11/01/2010
MA	AG	11/01/2010	APPROVED	11/01/2010
MD	AG	11/01/2010	APPROVED	11/01/2010
ME	AG	11/01/2010	APPROVED	11/01/2010
MI	AG	11/01/2010	APPROVED	11/01/2010
MN	AG	11/01/2010	APPROVED	11/01/2010
MO	AG	11/01/2010	APPROVED	11/01/2010
MS	AG	11/01/2010	APPROVED	11/01/2010
MT	AG	11/01/2010	APPROVED	11/01/2010
NC	AG	11/01/2010	APPROVED	11/01/2010
ND	AG	11/01/2010	APPROVED	11/01/2010

Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information**Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NE	AG	11/01/2010	APPROVED	11/01/2010
NH	AG	11/01/2010	APPROVED	11/01/2010
NJ	AG	11/01/2010	APPROVED	11/01/2010
NM	AG	11/01/2010	APPROVED	11/01/2010
NQX	GP	11/01/2010	APPROVED	11/01/2010
NQX	GS	11/01/2010	APPROVED	11/01/2010
NV	AG	11/01/2010	APPROVED	11/01/2010
NY	AG	11/01/2010	APPROVED	11/01/2010
NYSE	GP	11/01/2010	APPROVED	11/01/2010
NYSE	GS	11/01/2010	APPROVED	11/01/2010
NYSE	MP	11/01/2010	APPROVED	11/01/2010
NYSE-MKT	GP	11/01/2010	APPROVED	11/01/2010
NYSE-MKT	GS	11/01/2010	APPROVED	11/01/2010
NYSE-MKT	MP	11/01/2010	APPROVED	11/01/2010
OH	AG	11/01/2010	APPROVED	11/01/2010
OK	AG	11/01/2010	APPROVED	11/01/2010
OR	AG	11/01/2010	APPROVED	11/01/2010
PA	AG	11/01/2010	APPROVED	11/01/2010
PHLX	GP	04/18/2012	APPROVED	04/18/2012
PHLX	GS	11/01/2010	APPROVED	11/01/2010
PR	AG	11/01/2010	APPROVED	11/01/2010
RI	AG	11/01/2010	APPROVED	11/01/2010
SC	AG	11/01/2010	APPROVED	11/01/2010
SD	AG	11/01/2010	APPROVED	11/01/2010
TN	AG	11/01/2010	APPROVED	11/01/2010
TX	AG	11/01/2010	APPROVED	11/01/2010
UT	AG	11/01/2010	APPROVED	11/01/2010
VA	AG	11/01/2010	APPROVED	11/01/2010
VI	AG	11/01/2010	APPROVED	11/01/2010
VT	AG	11/01/2010	APPROVED	11/01/2010
WA	AG	11/01/2010	APPROVED	11/01/2010
WI	AG	11/01/2010	APPROVED	11/01/2010
WV	AG	11/01/2010	APPROVED	11/01/2010
WY	AG	11/01/2010	APPROVED	11/01/2010

Registrations with Previous Employer(s)

From 04/01/2000 To 11/01/2010 BANC OF AMERICA SECURITIES LLC(26091)

Reason for Termination Voluntary

Termination Comment MASS TRANSFER # 167165

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	11/01/2010	MASS_TRNSF	07/21/2000
AL	AG	11/01/2010	MASS_TRNSF	07/11/2000

Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information**Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AR	AG	11/01/2010	MASS_TRNSF	07/06/2000
ARCA	GS	11/01/2010	MASS_TRNSF	11/05/2002
AZ	AG	11/01/2010	MASS_TRNSF	07/07/2000
BX	GP	11/01/2010	MASS_TRNSF	11/05/2002
BX	GS	11/01/2010	MASS_TRNSF	11/05/2002
CA	AG	11/01/2010	MASS_TRNSF	07/06/2000
CBOE	GS	05/03/2010	T_NOU5	02/16/2006
CHX	GP	11/01/2010	MASS_TRNSF	11/05/2002
CHX	GS	11/01/2010	MASS_TRNSF	11/05/2002
CHX	MP	11/01/2010	MASS_TRNSF	11/05/2002
CO	AG	11/01/2010	MASS_TRNSF	05/01/2000
CT	AG	11/01/2010	MASS_TRNSF	07/07/2000
DC	AG	11/01/2010	MASS_TRNSF	05/08/2000
DE	AG	11/01/2010	MASS_TRNSF	07/07/2000
FINRA	GP	11/01/2010	MASS_TRNSF	05/01/2000
FINRA	GS	11/01/2010	MASS_TRNSF	05/01/2000
FINRA	MP	11/01/2010	MASS_TRNSF	05/01/2000
FINRA	IB	10/15/2010	TERMED	04/01/2010
FL	AG	11/01/2010	MASS_TRNSF	05/02/2000
GA	AG	11/01/2010	MASS_TRNSF	07/07/2000
HI	AG	11/01/2010	MASS_TRNSF	07/12/2000
IA	AG	11/01/2010	MASS_TRNSF	07/12/2000
ID	AG	11/01/2010	MASS_TRNSF	10/18/2005
IL	AG	11/01/2010	MASS_TRNSF	07/19/2000
IN	AG	11/01/2010	MASS_TRNSF	07/10/2000
KS	AG	11/01/2010	MASS_TRNSF	07/10/2000
KY	AG	11/01/2010	MASS_TRNSF	07/06/2000
LA	AG	11/01/2010	MASS_TRNSF	05/03/2000
MA	AG	11/01/2010	MASS_TRNSF	07/11/2000
MD	AG	11/01/2010	MASS_TRNSF	05/01/2000
ME	AG	11/01/2010	MASS_TRNSF	05/01/2000
MI	AG	11/01/2010	MASS_TRNSF	07/10/2000
MN	AG	11/01/2010	MASS_TRNSF	06/04/2004
MO	AG	11/01/2010	MASS_TRNSF	07/06/2000
MS	AG	11/01/2010	MASS_TRNSF	07/10/2000
MT	AG	11/01/2010	MASS_TRNSF	10/18/2005
NC	AG	11/01/2010	MASS_TRNSF	07/06/2000
ND	AG	11/01/2010	MASS_TRNSF	10/24/2005
NE	AG	11/01/2010	MASS_TRNSF	07/12/2000
NH	AG	11/01/2010	MASS_TRNSF	07/06/2000
NJ	AG	11/01/2010	MASS_TRNSF	10/12/2000
NM	AG	11/01/2010	MASS_TRNSF	07/06/2000

Individual 1411581 - ERICKSON, JULIA ANN**Administrative Information****Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NQX	GP	11/01/2010	MASS_TRNSF	07/12/2006
NQX	GS	11/01/2010	MASS_TRNSF	07/12/2006
NSX	GP	04/13/2005	T_NOU5	11/05/2002
NSX	GS	04/13/2005	T_NOU5	11/05/2002
NSX	MP	04/13/2005	T_NOU5	11/05/2002
NV	AG	11/01/2010	MASS_TRNSF	07/07/2000
NY	AG	11/01/2010	MASS_TRNSF	07/18/2000
NYSE	GP	11/01/2010	MASS_TRNSF	06/26/2010
NYSE	GS	11/01/2010	MASS_TRNSF	07/31/2000
NYSE	MP	11/01/2010	MASS_TRNSF	06/26/2010
NYSE-MKT	GP	11/01/2010	MASS_TRNSF	02/16/2006
NYSE-MKT	GS	11/01/2010	MASS_TRNSF	11/05/2002
NYSE-MKT	MP	11/01/2010	MASS_TRNSF	02/16/2006
OH	AG	11/01/2010	MASS_TRNSF	05/02/2000
OK	AG	11/01/2010	MASS_TRNSF	07/06/2000
OR	AG	11/01/2010	MASS_TRNSF	10/19/2005
OR	AG	08/04/2000	T_NOREG	
PA	AG	11/01/2010	MASS_TRNSF	07/06/2000
PHLX	GS	11/01/2010	MASS_TRNSF	11/05/2002
PR	AG	11/01/2010	MASS_TRNSF	10/21/2005
RI	AG	11/01/2010	MASS_TRNSF	10/27/2004
SC	AG	11/01/2010	MASS_TRNSF	07/07/2000
SD	AG	11/01/2010	MASS_TRNSF	10/18/2005
TN	AG	11/01/2010	MASS_TRNSF	07/07/2000
TX	AG	11/01/2010	MASS_TRNSF	07/07/2000
UT	AG	11/01/2010	MASS_TRNSF	07/06/2000
VA	AG	11/01/2010	MASS_TRNSF	07/06/2000
VI	AG	11/01/2010	MASS_TRNSF	04/30/2010
VT	AG	11/01/2010	MASS_TRNSF	10/27/2004
WA	AG	11/01/2010	MASS_TRNSF	07/06/2000
WI	AG	11/01/2010	MASS_TRNSF	07/06/2000
WV	AG	11/01/2010	MASS_TRNSF	10/18/2005
WY	AG	11/01/2010	MASS_TRNSF	10/18/2005

From 02/17/1997 To 10/01/1997 BANC ONE CAPITAL CORPORATION(27267)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AZ	AG	05/14/1997	TERMED	02/19/1997
CA	AG	05/14/1997	TERMED	02/26/1997
CO	AG	05/14/1997	TERMED	02/19/1997
CT	AG	05/14/1997	TERMED	02/19/1997
DC	AG	05/14/1997	TERMED	02/26/1997

Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information**Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GP	10/09/1997	TERMED	02/19/1997
FINRA	GS	10/09/1997	TERMED	02/19/1997
FINRA	MP	10/09/1997	TERMED	02/19/1997
FINRA	PG	10/09/1997	TERMED	02/19/1997
FINRA	RG	10/09/1997	TERMED	02/19/1997
FL	AG	10/09/1997	TERMED	02/19/1997
GA	AG	05/14/1997	TERMED	02/19/1997
IL	AG	05/14/1997	TERMED	02/19/1997
IN	AG	05/14/1997	TERMED	02/19/1997
KY	AG	05/14/1997	TERMED	02/19/1997
LA	AG	10/09/1997	TERMED	04/25/1997
MD	AG	05/14/1997	TERMED	02/19/1997
MI	AG	05/14/1997	TERMED	02/19/1997
MN	AG	05/14/1997	TERMED	02/19/1997
NC	AG	05/14/1997	TERMED	02/19/1997
NE	AG	05/14/1997	TERMED	02/19/1997
NM	AG	10/09/1997	TERMED	02/19/1997
NY	AG	10/09/1997	TERMED	04/24/1997
OH	AG	05/14/1997	TERMED	02/19/1997
OK	AG	10/09/1997	TERMED	04/24/1997
PA	AG	05/14/1997	TERMED	02/19/1997
TN	AG	05/14/1997	TERMED	02/19/1997
TX	AG	10/09/1997	TERMED	02/19/1997
UT	AG	05/14/1997	TERMED	02/19/1997
VA	AG	10/09/1997	TERMED	02/19/1997
WI	AG	05/14/1997	TERMED	02/19/1997

From 03/29/1993 To 02/15/1997 NATIONSBANC CAPITAL MARKETS, INC.(26091)

Reason for Termination Voluntary**Termination Comment**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AL	AG	02/18/1997	TERMED	10/18/1995
AR	AG	02/18/1997	TERMED	02/15/1995
AZ	AG	02/18/1997	TERMED	10/24/1995
CA	AG	02/18/1997	TERMED	10/18/1995
CO	AG	02/18/1997	TERMED	10/18/1995
CT	AG	02/18/1997	TERMED	10/18/1995
DC	AG	02/18/1997	TERMED	10/20/1995
DE	AG	02/18/1997	TERMED	10/18/1995
FINRA	GP	02/18/1997	TERMED	03/29/1993
FINRA	GS	02/18/1997	TERMED	03/29/1993
FINRA	MP	02/18/1997	TERMED	12/20/1994
FINRA	MR	02/18/1997	TERMED	12/14/1994

Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	PG	02/18/1997	TERMED	03/29/1993
FINRA	RG	02/18/1997	TERMED	03/29/1993
FL	AG	02/18/1997	TERMED	10/19/1995
GA	AG	02/18/1997	TERMED	10/18/1995
IA	AG	02/18/1997	TERMED	10/19/1995
ID	AG	02/18/1997	TERMED	10/18/1995
IL	AG	02/18/1997	TERMED	10/18/1995
IN	AG	02/18/1997	TERMED	10/18/1995
KS	AG	02/18/1997	TERMED	10/18/1995
KY	AG	02/18/1997	TERMED	10/23/1995
LA	AG	02/18/1997	TERMED	10/19/1995
MA	AG	02/18/1997	TERMED	10/18/1995
MD	AG	02/18/1997	TERMED	10/18/1995
MI	AG	02/18/1997	TERMED	10/19/1995
MN	AG	02/18/1997	TERMED	10/23/1995
MO	AG	02/18/1997	TERMED	10/19/1995
MT	AG	02/18/1997	TERMED	10/19/1995
NC	AG	02/18/1997	TERMED	10/19/1995
NE	AG	02/18/1997	TERMED	10/18/1995
NH	AG	02/18/1997	TERMED	10/18/1995
NJ	AG	02/18/1997	TERMED	10/23/1995
NM	AG	02/18/1997	TERMED	10/20/1995
OH	AG	02/18/1997	TERMED	10/20/1995
OK	AG	02/18/1997	TERMED	02/15/1995
OR	AG	02/18/1997	TERMED	03/05/1996
PA	AG	02/18/1997	TERMED	10/19/1995
SC	AG	02/18/1997	TERMED	10/24/1995
SD	AG	02/18/1997	TERMED	10/20/1995
TN	AG	02/18/1997	TERMED	10/20/1995
TX	AG	02/18/1997	TERMED	03/29/1993
UT	AG	02/18/1997	TERMED	10/19/1995
VA	AG	02/18/1997	TERMED	02/15/1995
VT	AG	02/18/1997	TERMED	10/23/1995
WA	AG	02/18/1997	TERMED	03/05/1996
WI	AG	02/18/1997	TERMED	10/20/1995
WY	AG	02/18/1997	TERMED	10/19/1995

From 09/01/1992 To 03/26/1993 NATIONSBANC SECURITIES, INC.(16361)

Reason for Termination Other

Termination Comment TRANSFERRING TO CAPITAL MARKETS

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CO	AG	10/23/1992	TERMED	09/01/1992
FINRA	GP	04/02/1993	TERMED	09/01/1992

Individual 1411581 - ERICKSON, JULIA ANN**Administrative Information****Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	04/02/1993	TERMED	09/01/1992
FINRA	PG	04/02/1993	TERMED	09/01/1992
FINRA	RG	04/02/1993	TERMED	09/01/1992
NY	AG	10/23/1992	TERMED	09/01/1992
TX	AG	04/02/1993	TERMED	09/01/1992

From 01/07/1991 To 08/31/1992 NATIONSBANC CAPITAL MARKETS, INC.(26091)

Reason for Termination Other

Termination Comment TRANSFERRING TO AN AFFILIATE (NATIONSBANC SECURITIES, INC.)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CO	AG	09/01/1992	TERMED	01/07/1991
FINRA	GP	09/01/1992	TERMED	01/07/1991
FINRA	GS	09/01/1992	TERMED	01/07/1991
FINRA	PG	09/01/1992	TERMED	11/15/1991
FINRA	RG	09/01/1992	TERMED	01/10/1991
NY	AG	09/01/1992	TERMED	01/07/1991
TX	AG	09/01/1992	TERMED	01/07/1991

From 07/01/1984 To 01/04/1991 NCNB SECURITIES, INC.(16361)

Reason for Termination Other

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CA	AG	01/10/1991	TERMED	04/02/1990
CO	AG	01/10/1991	TERMED	04/02/1990
FINRA	GP	01/10/1991	TERMED	12/19/1990
FINRA	GS	01/10/1991	TERMED	04/02/1990
NY	AG	01/10/1991	TERMED	04/02/1990
TX	AG	01/10/1991	TERMED	04/02/1990

From 11/06/1987 To 04/02/1990 NCNB TEXAS SECURITIES, INC.(16882)

Reason for Termination Administrative Termination

Termination Comment Administrative Termination

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AR	AG	04/02/1990	TERMED	08/04/1988
AZ	AG	04/02/1990	TERMED	08/12/1988
CA	AG	04/02/1990	TERMED	04/28/1988
CO	AG	04/02/1990	TERMED	05/05/1988
FINRA	GS	04/02/1990	TERMED	11/06/1987
LA	AG	04/02/1990	TERMED	04/28/1988
NM	AG	04/02/1990	TERMED	04/15/1988
NY	AG	04/02/1990	TERMED	07/29/1988
OK	AG	04/02/1990	TERMED	04/12/1988
TX	AG	04/02/1990	TERMED	11/06/1987

From 07/26/1984 To 11/06/1987 REPUBLICBANK SECURITIES COMPANY, INC.(16874)

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

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Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information

Registrations with Previous Employer(s)

Reason for Termination Administrative Termination

Termination Comment Administrative Termination

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	11/06/1987	TERMED	05/02/1986
FINRA	OP	10/04/1987	PURGED	
TX	AG	11/06/1987	TERMED	04/23/1987

Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information

Professional Designations

<<No Professional Designations found for this Individual.>>

Employment History

From	11/2010	To	Present	Name	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
				Location	DALLAS, TX
				Position	Mass Transfer
				Investment Related	Yes
From	09/1997	To	Present	Name	BANK OF AMERICA N.A.
				Location	DALLAS, TX, USA
				Position	SALES REP
				Investment Related	Yes
From	04/2000	To	11/2010	Name	BANC OF AMERICA SECURITIES LLC
				Location	DALLAS, TX, USA
				Position	SALES REP
				Investment Related	Yes
From	02/1997	To	10/1997	Name	BANC ONE CAPITAL CORPORATION
				Location	DALLAS, TX
				Position	NOT PROVIDED
				Investment Related	Yes
From	03/1993	To	02/1997	Name	NATIONSBANC CAPITAL MARKETS, INC.
				Location	DALLAS, TX
				Position	NOT PROVIDED
				Investment Related	Yes
From	04/1993	To	02/1997	Name	NCMI
				Location	DALLAS, TX
				Position	OTHER - SUPPORT MGR, OFFICE PRINCIPAL
				Investment Related	No
From	06/1984	To	02/1997	Name	NATIONSBANC CAPITAL MARKETS
				Location	DALLAS, TX, US
				Position	SALES REP
				Investment Related	Yes
From	07/1992	To	04/1993	Name	NATIONS SECURITIES
				Location	DALLAS, TX

Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information

Employment History

		Position	SALES - SALES
		Investment Related	No
From	09/1992	To	03/1993
		Name	NATIONSBANC SECURITIES, INC.
		Location	DALLAS, TX
		Position	NOT PROVIDED
		Investment Related	Yes
From	01/1991	To	08/1992
		Name	NATIONSBANC CAPITAL MARKETS, INC.
		Location	DALLAS, TX
		Position	NOT PROVIDED
		Investment Related	Yes
From	09/1987	To	07/1992
		Name	NCNB FUNDS MANAGEMENT
		Location	DALLAS, TX
		Position	OTHER - SALES SUPPORT
		Investment Related	No
From	11/1987	To	01/1991
		Name	EQUIBASE SECURITIES, LTD.
		Location	NEW YORK, NY
		Position	NOT PROVIDED
		Investment Related	Yes
From	07/1984	To	01/1991
		Name	NCNB SECURITIES, INC.
		Location	DALLAS, TX
		Position	OTHER - REPRESENTATIVE
		Investment Related	Yes
From	07/1984	To	01/1991
		Name	NCNB CAPITAL MARKETS, INC.
		Location	DALLAS, TX
		Position	NOT PROVIDED
		Investment Related	Yes
From	07/1984	To	01/1991
		Name	NCNB TEXAS NATIONAL BANK
		Location	DALLAS, TX
		Position	OTHER - SALES ASSISTANT
		Investment Related	No
From	11/1987	To	04/1990
		Name	NCNB TEXAS SECURITIES, INC.
		Location	DALLAS, TX
		Position	NOT PROVIDED

CRD® or IARD(TM) System Current As Of: 10/08/2013

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Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information

Employment History

From 07/1984 To 11/1987

Investment Related Yes

Name REPUBLICBANK SECURITIES COMPANY, INC.

Location DALLAS, TX

Position NOT PROVIDED

Investment Related Yes

Office of Employment History

From 11/2010 To Present

Name MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
457028	GM-DAL02	GM-DAL02	Yes	No	11/01/2010		Located At
Address 901 MAIN STREET DALLAS, TX 75202 UNITED STATES							

From 04/2000 To 11/2010

Name BANC OF AMERICA SECURITIES LLC(26091)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
90390	1	1	Yes	No	06/12/2006	11/01/2010	Located At
Address 901 MAIN STREET DALLAS, TX 75202 UNITED STATES							
		4110	No	No	04/01/2000	06/12/2006	Located At
Address 901 MAIN ST. DALLAS, TX 75202 UNITED STATES							

From 02/1997 To 10/1997

Name BANC ONE CAPITAL CORPORATION(27267)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	02/17/1997	10/01/1997	Located At
Address 300 CRESCENT COURT SUITE 1600 DALLAS, TX 75201							

Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information

Office of Employment History

From 03/1993 To 02/1997

Name NATIONSBANC CAPITAL MARKETS, INC.(26091)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	03/29/1993	02/15/1997	Located At

Address 901 MAIN STREET
DALLAS, TX 75202

From 09/1992 To 03/1993

Name NATIONSBANC SECURITIES, INC.(16361)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	09/01/1992	03/26/1993	Located At

Address 901 MAIN STREET 22ND FLOOR
DALLAS, TX 75202

From 01/1991 To 08/1992

Name NATIONSBANC CAPITAL MARKETS, INC.(26091)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	01/07/1991	08/31/1992	Located At

Address 901 MAIN STREET 22ND FL
DALLAS, TX 75202

From 07/1984 To 01/1991

Name NCNB SECURITIES, INC.(16361)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	07/01/1984	01/04/1991	Located At

Address 901 MAIN STREET 22ND FLOOR
DALLAS, TX 75202

CRD® or IARD(TM) System Current As Of: 10/08/2013

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Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information

Office of Employment History

From 11/1987 To 04/1990

Name NCNB TEXAS SECURITIES, INC.(16882)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	11/06/1987	04/02/1990	Located At
Address 901 MAIN ST, 8TH FL DALLAS, TX 75202							

From 07/1984 To 11/1987

Name REPUBLICBANK SECURITIES COMPANY, INC.(16874)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	07/26/1984	11/06/1987	Located At
Address 350 N ST PAUL 3RD FL DALLAS, TX 75201							

Other Business

<<No Other Business found for this Individual.>>

Exam Appointments

<<No Exam Appointments found for this Individual.>>

Exam History

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S4	18536373	Window Expired	07/22/1987			0	-
S7	18536381	Official Waiver	05/01/2000				04/18/2000-08/16/2000
S7	18536380	Official Result	10/19/1985	10/19/1985	Passed	73	-
S7	18536379	Official Result	09/21/1985	09/21/1985	Failed	64	-
S24	18536372	Official Result	01/23/2007	01/22/2007	Passed	79	09/27/2006-01/25/2007
S24	18536371	Official Waiver	05/01/2000				04/18/2000-08/16/2000
S24	18536370	Official Result	12/17/1990	12/17/1990	Passed	73	-
S53	18536375	Official Waiver	05/01/2000				04/18/2000-08/16/2000
S53	18536374	Official Result	12/19/1994	12/19/1994	Passed	75	-
S63	18536378	Official Result	07/06/2000	07/05/2000	Passed	84	04/18/2000-08/16/2000
S63	18536377	Official Result	04/23/1986	04/23/1986	Passed	78	-
S63	18536376	Window Expired	12/05/1985			0	-

Snapshot - Individual

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Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information

CE Regulatory Element Status

Current CE Status SATISFIED

CE Base Date 05/01/2000

CE Appointments

<<No CE Appointments found for this Individual.>>

Current CE

<<No Current CE found for this Individual.>>

Next CE

Window Dates	Requirement Type	Session
05/01/2014-08/28/2014	Anniversary	201

CE Directed Sequence History

<<No CE Directed Sequence History found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Dates found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201	SATISFIED	06/14/2011	05/01/2011-08/28/2011	06/14/2011 - CMPLT
Anniversary	201	REQUIRED	05/02/2011	05/01/2011-08/28/2011	
Anniversary	201	SATISFIED	07/07/2008	05/01/2008-08/28/2008	07/07/2008 - CMPLT
Anniversary	201	REQUIRED	05/01/2008	05/01/2008-08/28/2008	
Anniversary	201	SATISFIED	05/20/2005	05/01/2005-08/28/2005	05/20/2005 - CMPLT
Anniversary	201	REQUIRED	05/02/2005	05/01/2005-08/28/2005	
Anniversary	201	SATISFIED	05/17/2002	05/01/2002-08/28/2002	05/17/2002 - CMPLT
Anniversary	201	REQUIRED	05/01/2002	05/01/2002-08/28/2002	
Anniversary	101	GRADUATED	05/17/1996	05/02/1996-08/29/1996	
Anniversary	101		05/17/1996	05/02/1996-08/29/1996	05/17/1996 - CMPLT
Anniversary	101			05/02/1991-08/29/1991	
Anniversary	101			05/02/1988-08/29/1988	

Filing History

Filing Date	Form Type	Filing type	Source
10/12/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
05/14/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/18/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/18/2010	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/03/2010	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	MERRILL LYNCH, PIERCE, FENNER & SMITH

Individual 1411581 - ERICKSON, JULIA ANN

Administrative Information**Filing History**

Filing Date	Form Type	Filing type	Source
			INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	BANC OF AMERICA SECURITIES LLC (26091)
10/15/2010	U5	Partial	BANC OF AMERICA SECURITIES LLC (26091)
08/16/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
06/26/2010	U4	Admin	NYSE
04/30/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/19/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/19/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/01/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
05/18/2009	U4	Upload - New U4 Questions	BANC OF AMERICA SECURITIES LLC (26091)
08/09/2006	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
07/29/2006	U4	Conversion	BANC OF AMERICA SECURITIES LLC (26091)
06/15/2006	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
02/16/2006	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
10/17/2005	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
10/26/2004	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
05/21/2004	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
05/13/2004	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
11/05/2002	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
08/04/2000	U5	Partial	BANC OF AMERICA SECURITIES LLC (26091)
05/08/2000	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/17/2000	U4	Initial	BANC OF AMERICA SECURITIES LLC (26091)
07/05/1999	U5	Conversion	BANC ONE CAPITAL MARKETS, INC. (27267)
07/05/1999	U4	Conversion	BANC ONE CAPITAL MARKETS, INC. (27267)
07/05/1999	U5	Conversion	BANC OF AMERICA SECURITIES LLC (26091)
07/05/1999	U4	Conversion	BANC OF AMERICA SECURITIES LLC (26091)
07/05/1999	U5	Conversion	BANC OF AMERICA INVESTMENT SERVICES, INC. (16361)
07/05/1999	U4	Conversion	BANC OF AMERICA INVESTMENT SERVICES, INC. (16361)
07/05/1999	U5	Conversion	BANC OF AMERICA SECURITIES LLC (26091)
07/05/1999	U4	Conversion	BANC OF AMERICA SECURITIES LLC (26091)
07/05/1999	U5	Conversion	BANC OF AMERICA INVESTMENT SERVICES, INC. (16361)
07/05/1999	U4	Conversion	BANC OF AMERICA INVESTMENT SERVICES, INC. (16361)
07/05/1999	U5	Conversion	NCNB TEXAS SECURITIES, INC. (16882)
07/05/1999	U4	Conversion	NCNB TEXAS SECURITIES, INC. (16882)
07/05/1999	U5	Conversion	REPUBLICBANK SECURITIES COMPANY, INC. (16874)
07/05/1999	U4	Conversion	REPUBLICBANK SECURITIES COMPANY, INC. (16874)

Individual 1411581 - ERICKSON, JULIA ANN

Reportable Events

Number of Reportable Events

Bankruptcy	0
Bond	0
Civil Judicial	0
Criminal	0
Customer Complaint	1
Internal Review	0
Investigation	0
Judgement/Lien	0
Regulatory Action	0
Termination	0

Occurrence#	1523350	Disclosure Type	Customer Complaint
FINRA Public Disclosable	Yes	Reportable	Yes
Material Difference in Disclosure	No		

Filing ID	29130279	Form (Form Version)	U4 (05/2009)
Filing Date	11/18/2010		
Source	7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED		
Disclosure Questions Answered	14l(1)(d)		

Customer Complaint DRP

DRP Version 05/2009

1. Customer name(s): EXPRESSJET AIRLINES INC.
2. Residence information:
 - A. Customer(s) state of residence: Texas
 - B. Other state(s) of residence/ detail:
3. Employing firm: BANC OF AMERICA SECURITIES, LLC
4. Allegation(s): THE COMPLAINT ALLEGES MISREPRESENTATIONS AND UNSUITABILITY REGARDING PLAINTIFF'S PURCHASE OF AUCTION RATE SECURITIES IN JANUARY AND FEBRUARY, 2008. COMPENSATORY DAMAGES ARE NOT SPECIFIED.
5. Product type(s): Other: AUCTION RATE SECURITIES
6. Alleged compensatory damage amount: \$0.00

Explanation:
7. Customer complaints:
 - A. Oral complaint:
 - B. Written complaint:
 - C. Arbitration/CFTC reparation or civil litigation:

Individual 1411581 - ERICKSON, JULIA ANN

Reportable Events

Customer Complaint DRP

DRP Version 05/2009

- i. Arbitration/Reparation forum court name/location:
- ii. Docket/Case#:
- iii. Arbitration or civil litigation filing date:
- D. Date received by/Served on firm/Explanation:
- 8. Complaint, arbitration/CFTC reparation, civil litigation pending:
- 9. Complaint, arbitration/CFTC reparation or civil status:
- 10. Status date/Explanation:
- 11. Settlement/Award/Monetary judgment:
 - A. Award amount:
 - B. Contribution amount:
- 12. Arbitration/CFTC reparation information:
 - A. Arbitration/CFTC reparation claim filed with:
 - B. Docket/Case#:
 - C. Date notice/Process was served/Explanation:
- 13. Pending arbitration/ CFTC reparation:
- 14. Disposition:
- 15. Disposition date/Explanation:
- 16. Monetary compensation details:
 - A. Total compensation amount:
 - B. Contribution amount:
- 17. Court in which case was filed:
 - A. Name of court:
 - B. Location of court:
 - C. Docket/Case#:
- 18. Date notice/process was served/Explanation:
- 19. Pending civil litigation:

State Court
 COUNTY COURT
 DALLAS COUNTY, TEXAS
 CC-09-07113-E
 10/13/2009
 No

Individual 1411581 - ERICKSON, JULIA ANN

Reportable Events

Customer Complaint DRP

DRP Version 05/2009

20. Civil litigation status: Settled
21. Disposition date/Explanation: 07/22/2010
22. Monetary compensation details:
- A. Total compensation amount: \$967,500.00
 - B. Contribution amount: \$0.00
23. If action is currently on appeal:
- A. Appeal date/Explanation:
 - B. Court appeal filed with:
 - i. Name of court:
 - ii. Location of court:
 - iii. Docket/Case#:

24. Comment:

THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. PRIOR TO THE WIDESPREAD AUCTION FAILURES, ARS WERE SOLD THROUGHOUT THE FINANCIAL SERVICES INDUSTRY AS HIGHLY LIQUID INSTRUMENTS, AND WERE APPROPRIATELY REGARDED BY THE INDUSTRY AS HIGHLY LIQUID INVESTMENTS. THE SALES REPRESENTATIVE DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL OVER THESE MARKET EVENTS. THE ARS SOLD TO EXPRESSJET WERE WITHIN THE APPROVED WRITTEN INVESTMENT GUIDELINES PROVIDED BY THE COMPANY. THE SALES REPRESENTATIVE DID NOT MAKE ANY PAYMENT TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE. THE AMOUNT IN ITEM 22 REFLECTS THE FULL AMOUNT PAID TO REPURCHASE THE CUSTOMER'S ARS, UNDER FINRA REGULATORY NOTICE 09-12.

Regulator Archive and Z Records

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

Request Submitted: 10/9/2013 3:27:00 PM

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Notice

CRD® or IARD(TM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information.

FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA).

FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators.

Reportable Information: Information that is required to be reported on the current version of the uniform registration forms.

Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

Request Submitted: 10/9/2013 3:27:00 PM

Page 2 of 16

Details for Request#: 12436631
Report: Snapshot - Individual
Requested By: TLW

<u>Parameter Name</u>	<u>Value</u>
Request by CRD# or SSN:	CRD#
Individual CRD# or SSN	2936094
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business?	Yes
Include Exam Information?	Yes
Include Continuing Education Information? (CRD Only)	Yes
Include Filing History? (CRD Only)	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information? (CRD Only)	Yes
Is this a Pre-Registration Report Request? (CRD Only)	No

Individual 2936094 - EVERETT, ELIZABETH CAMPBELL

Administrative Information**Composite Information**

Full Legal Name EVERETT, ELIZABETH CAMPBELL

State of Residence NY

Active Employments

Current Employer MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Firm Main Address ONE BRYANT PARK
NEW YORK
NY, UNITED STATES
10036Firm Mailing Address 222 BROADWAY
NY3-222-12-05
NEW YORK
NY, UNITED STATES
10038

Business Telephone# 800-637-7455

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
391792	080-3LFB	080-3LFB	Yes	No	08/20/2001		Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							

Reportable Disclosures? The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5).
Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutory Disqualification? BLNK

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information

Individual CRD# 2936094

Other Names Known By EVERETT,, LIZ

Year of Birth 1975

Individual 2936094 - EVERETT, ELIZABETH CAMPBELL

Administrative Information**Registrations with Current Employer(s)**

From	To	Regulator	Registration Category	Status Date	Registration Status	Approval Date
08/20/2001	Present				MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)	
		AK	AG	12/31/2012	TERMED	03/06/2009
		AL	AG	12/31/2012	TERMED	03/06/2009
		AR	AG	12/31/2012	TERMED	03/06/2009
		ARCA	GP	04/18/2012	APPROVED	04/18/2012
		ARCA	GS	03/06/2009	APPROVED	03/06/2009
		AZ	AG	12/31/2012	TERMED	03/06/2009
		BATS-ZX	GS	03/06/2009	APPROVED	03/06/2009
		BOX	GP	05/15/2012	APPROVED	05/15/2012
		BOX	GS	05/15/2012	APPROVED	05/15/2012
		BX	GP	08/19/2011	APPROVED	08/19/2011
		BX	GS	03/06/2009	APPROVED	03/06/2009
		CA	AG	12/31/2012	TERMED	03/06/2009
		CBOE	GS	03/06/2009	APPROVED	03/06/2009
		CHX	GS	03/06/2009	APPROVED	03/06/2009
		CO	AG	12/31/2012	TERMED	03/06/2009
		CT	AG	12/31/2012	TERMED	03/06/2009
		DC	AG	12/31/2012	TERMED	03/06/2009
		DE	AG	12/31/2012	TERMED	03/06/2009
		FINRA	GP	04/22/2009	APPROVED	04/22/2009
		FINRA	CS	03/06/2009	APPROVED	03/06/2009
		FINRA	ET	03/06/2009	APPROVED	03/06/2009
		FINRA	GS	03/06/2009	APPROVED	03/06/2009
		FL	AG	12/31/2012	TERMED	03/06/2009
		GA	AG	12/31/2012	TERMED	03/06/2009
		HI	AG	12/31/2012	TERMED	03/06/2009
		IA	AG	12/31/2012	TERMED	03/06/2009
		ID	AG	12/31/2012	TERMED	03/06/2009
		IL	AG	12/31/2012	TERMED	03/06/2009
		IN	AG	12/31/2012	TERMED	04/03/2009
		ISE	GP	04/18/2012	APPROVED	04/18/2012
		ISE	GS	03/06/2009	APPROVED	03/06/2009
		KS	AG	12/31/2012	TERMED	03/06/2009
		KY	AG	12/31/2012	TERMED	03/06/2009
		LA	AG	12/31/2012	TERMED	03/06/2009
		MA	AG	12/31/2012	TERMED	04/02/2009
		MD	AG	12/31/2012	TERMED	03/06/2009
		ME	AG	12/31/2012	TERMED	03/06/2009
		MI	AG	12/31/2012	TERMED	03/06/2009
		MN	AG	12/31/2012	TERMED	03/06/2009
		MO	AG	12/31/2012	TERMED	03/06/2009
		MS	AG	12/31/2012	TERMED	03/06/2009

Individual 2936094 - EVERETT, ELIZABETH CAMPBELL**Administrative Information****Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
MT	AG	12/31/2012	TERMED	03/06/2009
NC	AG	12/31/2012	TERMED	11/01/2010
NC	AG	07/27/2009	PURGED	
ND	AG	12/31/2012	TERMED	03/06/2009
NE	AG	12/31/2012	TERMED	04/02/2009
NH	AG	12/31/2012	TERMED	03/06/2009
NJ	AG	12/31/2012	TERMED	03/06/2009
NM	AG	12/31/2012	TERMED	05/12/2009
NQX	CS	04/18/2012	APPROVED	04/18/2012
NQX	GP	04/18/2012	APPROVED	04/18/2012
NQX	ET	03/06/2009	APPROVED	03/06/2009
NQX	GS	03/06/2009	APPROVED	03/06/2009
NSX	ET	03/06/2009	APPROVED	03/06/2009
NSX	GS	03/06/2009	APPROVED	03/06/2009
NV	AG	12/31/2012	TERMED	04/15/2009
NY	AG	03/06/2009	APPROVED	03/06/2009
NYSE	CS	06/26/2010	APPROVED	06/26/2010
NYSE	ET	06/26/2010	APPROVED	06/26/2010
NYSE	GP	06/26/2010	APPROVED	06/26/2010
NYSE	SM	04/23/2009	APPROVED	04/23/2009
NYSE	GS	03/06/2009	APPROVED	03/06/2009
NYSE-MKT	CS	04/18/2012	APPROVED	04/18/2012
NYSE-MKT	GP	04/18/2012	APPROVED	04/18/2012
NYSE-MKT	SM	06/26/2010	APPROVED	06/26/2010
NYSE-MKT	ET	03/06/2009	APPROVED	03/06/2009
NYSE-MKT	GS	03/06/2009	APPROVED	03/06/2009
OH	AG	12/31/2012	TERMED	11/01/2010
OH	AG	07/27/2009	PURGED	
OK	AG	12/31/2012	TERMED	03/06/2009
OR	AG	12/31/2012	TERMED	04/06/2009
PA	AG	12/31/2012	TERMED	04/09/2009
PHLX	GP	04/18/2012	APPROVED	04/18/2012
PHLX	GS	03/06/2009	APPROVED	03/06/2009
PR	AG	12/31/2012	TERMED	03/06/2009
RI	AG	12/31/2012	TERMED	03/06/2009
SC	AG	12/31/2012	TERMED	03/06/2009
SD	AG	12/31/2012	TERMED	03/06/2009
TN	AG	12/31/2012	TERMED	03/06/2009
TX	AG	12/31/2012	TERMED	03/06/2009
UT	AG	12/31/2012	TERMED	03/23/2009
VA	AG	12/31/2012	TERMED	04/06/2009
VI	AG	12/31/2012	TERMED	03/06/2009

Individual 2936094 - EVERETT, ELIZABETH CAMPBELL

Administrative Information**Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
VT	AG	12/31/2012	TERMED	03/06/2009
WA	AG	12/31/2012	TERMED	03/06/2009
WI	AG	12/31/2012	TERMED	03/06/2009
WV	AG	12/31/2012	TERMED	04/13/2009
WY	AG	12/31/2012	TERMED	03/06/2009

Registrations with Previous Employer(s)

From 02/07/2009 To 11/01/2010 BANC OF AMERICA SECURITIES LLC(26091)

Reason for Termination Voluntary

Termination Comment MASS TRANSFER = 167165

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	11/01/2010	T_NOMT	02/09/2009
AL	AG	11/01/2010	T_NOMT	02/09/2009
AR	AG	11/01/2010	T_NOMT	02/09/2009
ARCA	GS	11/01/2010	T_NOMT	02/09/2009
AZ	AG	11/01/2010	T_NOMT	02/09/2009
CA	AG	11/01/2010	T_NOMT	02/09/2009
CBOE	GS	05/03/2010	T_NOU5	02/09/2009
CO	AG	11/01/2010	T_NOMT	02/09/2009
CT	AG	11/01/2010	T_NOMT	02/09/2009
DC	AG	11/01/2010	T_NOMT	02/09/2009
DE	AG	11/01/2010	T_NOMT	02/09/2009
FINRA	ET	11/01/2010	T_NOMT	02/09/2009
FINRA	GS	11/01/2010	T_NOMT	02/09/2009
FL	AG	11/01/2010	T_NOMT	02/09/2009
GA	AG	11/01/2010	T_NOMT	02/09/2009
HI	AG	11/01/2010	T_NOMT	02/09/2009
IA	AG	11/01/2010	T_NOMT	02/09/2009
ID	AG	11/01/2010	T_NOMT	02/09/2009
IL	AG	11/01/2010	T_NOMT	02/09/2009
IN	AG	11/01/2010	T_NOMT	02/13/2009
ISE	GS	11/01/2010	T_NOMT	02/09/2009
KS	AG	11/01/2010	T_NOMT	02/09/2009
KY	AG	11/01/2010	T_NOMT	02/09/2009
LA	AG	11/01/2010	T_NOMT	02/09/2009
MA	AG	11/01/2010	T_NOMT	02/13/2009
MD	AG	11/01/2010	T_NOMT	02/09/2009
ME	AG	11/01/2010	T_NOMT	02/09/2009
MI	AG	11/01/2010	T_NOMT	02/09/2009
MN	AG	11/01/2010	T_NOMT	02/09/2009
MO	AG	11/01/2010	T_NOMT	02/09/2009
MS	AG	11/01/2010	T_NOMT	02/09/2009

Individual 2936094 - EVERETT, ELIZABETH CAMPBELL

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
MT	AG	11/01/2010	T_NOMT	02/09/2009
NC	AG	11/01/2010	MASS_TRNSF	02/13/2009
ND	AG	11/01/2010	T_NOMT	02/09/2009
NE	AG	11/01/2010	T_NOMT	02/13/2009
NH	AG	11/01/2010	T_NOMT	02/09/2009
NJ	AG	11/01/2010	T_NOMT	02/09/2009
NM	AG	11/01/2010	T_NOMT	02/13/2009
NQX	ET	11/01/2010	T_NOMT	02/09/2009
NQX	GS	11/01/2010	T_NOMT	02/09/2009
NV	AG	11/01/2010	T_NOMT	02/13/2009
NY	AG	11/01/2010	T_NOMT	02/09/2009
NYSE	ET	11/01/2010	T_NOMT	06/26/2010
NYSE	GS	11/01/2010	T_NOMT	02/09/2009
NYSE-MKT	GS	11/01/2010	T_NOMT	02/09/2009
OH	AG	11/01/2010	MASS_TRNSF	02/17/2009
OK	AG	11/01/2010	T_NOMT	02/09/2009
OR	AG	11/01/2010	T_NOMT	02/13/2009
PA	AG	11/01/2010	T_NOMT	02/13/2009
PHLX	GS	11/01/2010	T_NOMT	02/09/2009
PR	AG	11/01/2010	T_NOMT	02/09/2009
RI	AG	11/01/2010	T_NOMT	02/09/2009
SC	AG	11/01/2010	T_NOMT	02/09/2009
SD	AG	11/01/2010	T_NOMT	02/09/2009
TN	AG	11/01/2010	T_NOMT	02/09/2009
TX	AG	11/01/2010	T_NOMT	02/10/2009
UT	AG	11/01/2010	T_NOMT	02/13/2009
VA	AG	11/01/2010	T_NOMT	02/13/2009
VI	AG	11/01/2010	T_NOMT	02/10/2009
VT	AG	11/01/2010	T_NOMT	02/09/2009
WA	AG	11/01/2010	T_NOMT	02/09/2009
WI	AG	11/01/2010	T_NOMT	02/09/2009
WV	AG	11/01/2010	T_NOMT	02/13/2009
WY	AG	11/01/2010	T_NOMT	02/09/2009

From 08/20/2001 To 02/13/2009 MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	02/13/2009	TERMED	05/04/2005
AL	AG	02/13/2009	TERMED	05/04/2005
AR	AG	02/13/2009	TERMED	05/04/2005
ARCA	GS	02/13/2009	TERMED	04/04/2002
AZ	AG	02/13/2009	TERMED	05/04/2005

Individual 2936094 - EVERETT, ELIZABETH CAMPBELL

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CA	AG	02/13/2009	TERMED	05/04/2005
CBOE	GS	02/13/2009	TERMED	04/04/2002
CO	AG	02/13/2009	TERMED	05/04/2005
CT	AG	02/13/2009	TERMED	05/04/2005
DC	AG	02/13/2009	TERMED	05/04/2005
DE	AG	02/13/2009	TERMED	05/04/2005
FINRA	ET	02/13/2009	TERMED	11/30/2005
FINRA	GP	02/13/2009	T_NOREG	
FINRA	GS	02/13/2009	TERMED	04/04/2002
FL	AG	02/13/2009	TERMED	05/04/2005
GA	AG	02/13/2009	TERMED	05/04/2005
HI	AG	02/13/2009	TERMED	05/04/2005
IA	AG	02/13/2009	TERMED	05/04/2005
ID	AG	02/13/2009	TERMED	05/04/2005
IL	AG	02/13/2009	TERMED	05/04/2005
IN	AG	02/13/2009	TERMED	05/04/2005
ISE	GS	02/13/2009	TERMED	01/26/2008
KS	AG	02/13/2009	TERMED	05/04/2005
KY	AG	02/13/2009	TERMED	05/04/2005
LA	AG	02/13/2009	TERMED	05/10/2005
MA	AG	02/13/2009	TERMED	05/04/2005
MD	AG	02/13/2009	TERMED	05/04/2005
ME	AG	02/13/2009	TERMED	05/04/2005
MI	AG	02/13/2009	TERMED	05/04/2005
MN	AG	02/13/2009	TERMED	05/04/2005
MO	AG	02/13/2009	TERMED	05/04/2005
MS	AG	02/13/2009	TERMED	05/04/2005
MT	AG	02/13/2009	TERMED	05/04/2005
NC	AG	02/13/2009	TERMED	05/05/2005
ND	AG	02/13/2009	TERMED	05/04/2005
NE	AG	02/13/2009	TERMED	05/04/2005
NH	AG	02/13/2009	TERMED	05/04/2005
NJ	AG	02/13/2009	TERMED	05/04/2005
NM	AG	02/13/2009	TERMED	05/04/2005
NQX	ET	02/13/2009	TERMED	07/12/2006
NQX	GS	02/13/2009	TERMED	07/12/2006
NV	AG	02/13/2009	TERMED	05/04/2005
NY	AG	02/13/2009	TERMED	04/04/2002
NYSE	GS	02/13/2009	TERMED	04/04/2002
NYSE-MKT	GS	02/13/2009	TERMED	04/04/2002
OH	AG	02/13/2009	TERMED	05/05/2005
OK	AG	02/13/2009	TERMED	05/04/2005

Individual 2936094 - EVERETT, ELIZABETH CAMPBELL

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
OR	AG	02/13/2009	TERMED	05/04/2005
PA	AG	02/13/2009	TERMED	05/04/2005
PHLX	GS	02/13/2009	TERMED	04/04/2002
PR	AG	02/13/2009	TERMED	05/04/2005
RI	AG	02/13/2009	TERMED	05/04/2005
SC	AG	02/13/2009	TERMED	05/04/2005
SD	AG	02/13/2009	TERMED	05/04/2005
TN	AG	02/13/2009	TERMED	05/04/2005
UT	AG	02/13/2009	TERMED	05/04/2005
VA	AG	02/13/2009	TERMED	05/04/2005
VT	AG	02/13/2009	TERMED	05/04/2005
WA	AG	02/13/2009	TERMED	05/04/2005
WI	AG	02/13/2009	TERMED	05/04/2005
WV	AG	02/13/2009	TERMED	05/04/2005
WY	AG	02/13/2009	TERMED	05/04/2005

From 08/20/2001 To 02/08/2002 MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Reason for Termination Other

Termination Comment REDUCTION IN STAFF

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ARCA	GS	03/01/2002	TERMED	10/30/2001
CBOE	GS	03/01/2002	TERMED	10/30/2001
FINRA	GS	03/01/2002	TERMED	10/30/2001
NY	AG	03/01/2002	TERMED	11/05/2001
NYSE	GS	03/01/2002	TERMED	10/30/2001
NYSE-MKT	GS	03/01/2002	TERMED	10/30/2001
PHLX	GS	03/01/2002	TERMED	10/30/2001

Individual 2936094 - EVERETT, ELIZABETH CAMPBELL

Administrative Information

Professional Designations

<<No Professional Designations found for this Individual.>>

Employment History

From	11/2010	To	Present	Name	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
				Location	NEW YORK, NY
				Position	Mass Transfer
				Investment Related	Yes
From	08/2001	To	Present	Name	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
				Location	NEW YORK, NY, USA
				Position	ASSOCIATE
				Investment Related	Yes
From	05/2001	To	08/2001	Name	TRAVEL
				Location	VARIOUS, VARIOUS
				Position	TOURIST
				Investment Related	No
From	07/1999	To	05/2001	Name	THE WHARTON SCHOOL
				Location	PHILADELPHIA, PA, USA
				Position	MBA CANDIDATE
				Investment Related	No
From	07/1997	To	07/1999	Name	SALOMON SMITH BARNEY
				Location	NEW YORK, NY, USA
				Position	INVESTMENT BANKING ANALYST
				Investment Related	Yes
From	08/1993	To	05/1997	Name	CORNELL UNIVERSITY
				Location	ITHACA, NY, USA
				Position	BS CANDIDATE
				Investment Related	No
From	09/1991	To	06/1993	Name	RYE COUNTRY DAY SCHOOL
				Location	RYE, NY, USA
				Position	HIGH SCHOOL STUDENT
				Investment Related	No

Individual 2936094 - EVERETT, ELIZABETH CAMPBELL

Administrative Information

Office of Employment History

From 08/2001 To Present

Name MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
391792	080-3LFB	080-3LFB	Yes	No	08/20/2001		Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							

From 02/2009 To 11/2010

Name BANC OF AMERICA SECURITIES LLC(26091)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
90398	38	38	Yes	No	02/07/2009	11/01/2010	Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							

From 08/2001 To 02/2009

Name MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
289073	080-3LF	080-3LF	Yes	No	03/13/2007	02/13/2009	Located At
Address 2 - 4 WORLD FINANCIAL CENTER NEW YORK, NY 10080 UNITED STATES							
289265	080-701	080-701	Yes	No	07/12/2006	03/13/2007	Located At
Address 4 WORLD FINANCIAL CENTER, GLOBAL EQUITIES / DEBT NEW YORK, NY 10080 UNITED STATES							
BD Main	BD MAIN		Yes	No	08/20/2001	07/12/2006	Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							
		080776	No	No	08/20/2001	01/19/2006	Located At
Address MERRILL LYNCH (NORTH TOWER), 4 WORLD FINANCIAL CE, 7TH FL NEW YORK, NY 10080 US							

From 08/2001 To 02/2002

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

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Individual 2936094 - EVERETT, ELIZABETH CAMPBELL

Administrative Information

Office of Employment History

Name MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
		08008C	No	No	08/20/2001	02/08/2002	Located At
Address MERRILL LYNCH (NORTH TOWER), 4 WORLD FINANCIAL CENTER , FLOOR 26 NEW YORK, NY 10080 USA							

From 08/1997 To 07/1999

Name SALOMON SMITH BARNEY INC.(7059)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	08/15/1997	07/09/1999	
Address 390 GREENWICH STREET NEW YORK, NY 10013							

Other Business

<<No Other Business found for this Individual.>>

Exam Appointments

<<No Exam Appointments found for this Individual.>>

Exam History

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S3	22456557	Official Result	08/24/2005	08/23/2005	Passed	87	05/24/2005-09/21/2005
S7	22456560	Official Result	10/30/2001	10/29/2001	Passed	83	10/20/2001-02/17/2002
S24	22456556	Official Result	04/22/2009	04/21/2009	Passed	73	03/06/2009-07/04/2009
S24	22456555	Withdraw	02/13/2009				01/28/2009-05/28/2009
S55	22456558	Official Result	11/30/2005	11/29/2005	Passed	73	09/14/2005-01/12/2006
S63	22456559	Official Result	11/05/2001	11/03/2001	Passed	80	10/20/2001-02/17/2002

CE Regulatory Element Status

Current CE Status SATISFIED

CE Base Date 10/30/2001

CE Appointments

<<No CE Appointments found for this Individual.>>

Current CE

<<No Current CE found for this Individual.>>

CRD® or IARD(TM) System Report -- See notice regarding CRD Data on cover page.

Individual 2936094 - EVERETT, ELIZABETH CAMPBELL**Administrative Information****Next CE**

Window Dates	Requirement Type	Session
10/30/2015-02/26/2016	Anniversary	201

CE Directed Sequence History

<<No CE Directed Sequence History found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Dates found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201	SATISFIED	12/11/2012	10/30/2012-02/26/2013	12/11/2012 - CMPLT
Anniversary	201	REQUIRED	10/30/2012	10/30/2012-02/26/2013	
Anniversary	201	SATISFIED	11/11/2009	10/30/2009-02/26/2010	11/11/2009 - CMPLT
Anniversary	201	REQUIRED	10/30/2009	10/30/2009-02/26/2010	
Anniversary	101	SATISFIED	01/03/2007	10/30/2006-02/26/2007	01/03/2007 - CMPLT
Anniversary	101	REQUIRED	10/30/2006	10/30/2006-02/26/2007	
Anniversary	101	SATISFIED	01/08/2004	10/30/2003-02/26/2004	01/08/2004 - CMPLT
Anniversary	101	REQUIRED	10/30/2003	10/30/2003-02/26/2004	

Filing History

Filing Date	Form Type	Filing type	Source
12/19/2012	U5	Partial	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
05/15/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/18/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/19/2011	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	BANC OF AMERICA SECURITIES LLC (26091)
10/30/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
06/26/2010	U4	Admin	NYSE
06/26/2010	U4	Admin	NYSE
06/26/2010	U4	Admin	NYSE-MKT
06/23/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
05/18/2009	U4	Upload - New U4 Questions	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
05/01/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/28/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/23/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)

Individual 2936094 - EVERETT, ELIZABETH CAMPBELL**Administrative Information****Filing History**

Filing Date	Form Type	Filing type	Source
03/06/2009	U4	Amendment	FINRA
03/05/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
03/03/2009	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
02/13/2009	U5	Full	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
02/10/2009	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
02/09/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
01/27/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
01/26/2008	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/24/2007	BR	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
03/20/2007	BR	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
03/13/2007	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/13/2006	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/10/2006	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
07/29/2006	U4	Conversion	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
07/12/2006	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
01/19/2006	U4	Individual-Branch Link	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
09/13/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
07/19/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
05/23/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
05/04/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
10/22/2003	NRF	Amendment	CITIGROUP GLOBAL MARKETS INC. (7059)
02/06/2003	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/04/2002	U4	Relicense All	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
03/01/2002	U5	Full	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
02/14/2002	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
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Individual 2936094 - EVERETT, ELIZABETH CAMPBELL

Filing History

Filing Date	Form Type	Filing type	Source
10/19/2001	U4	Initial	INCORPORATED (7691) MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
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Individual 2936094 - EVERETT, ELIZABETH CAMPBELL

Reportable Events

<<No Reportable Events found for this Individual.>>

Regulator Archive and Z Records

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

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Notice

CRD® or IARD(TM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information.

FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA).

FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators.

Reportable Information: Information that is required to be reported on the current version of the uniform registration forms.

Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

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Details for Request#: 12436637
Report: Snapshot - Individual
Requested By: TLW

<u>Parameter Name</u>	<u>Value</u>
Request by CRD# or SSN:	CRD#
Individual CRD# or SSN	2023832
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business?	Yes
Include Exam Information?	Yes
Include Continuing Education Information? (CRD Only)	Yes
Include Filing History? (CRD Only)	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information? (CRD Only)	Yes
Is this a Pre-Registration Report Request? (CRD Only)	No

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

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Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information

Composite Information

Full Legal Name GRILLO, ROBERT MITCHELL

State of Residence NY,

Active Employments

Current Employer MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Firm Main Address ONE BRYANT PARK
NEW YORK
NY, UNITED STATES
10036

Firm Mailing Address 222 BROADWAY
NY3-222-12-05
NEW YORK
NY, UNITED STATES
10038

Business Telephone# 800-637-7455

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office	
			No	No	06/01/2013		Located At	
			Address 2 KING EDWARD STREET LONDON, EC1A 1HQ UNITED KINGDOM					
391792	080-3LFB	080-3LFB	Yes	No	12/03/2009		Located At	
			Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES					

Reportable Disclosures? The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutory Disqualification? BLNK

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information

Individual CRD# 2023832

Other Names Known By

CRD® or IARD(TM) System Report -- See notice regarding CRD Data on cover page.

Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information

<<No Other Names found for this Individual.>>

Year of Birth 1966

Registrations with Current Employer(s)

From	To	Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)		
Regulator	Registration Category	Status Date	Registration Status	Approval Date	
AK	AG	12/04/2009	APPROVED	12/04/2009	
AL	AG	12/04/2009	APPROVED	12/04/2009	
AR	AG	12/04/2009	APPROVED	12/04/2009	
ARCA	GP	11/01/2010	APPROVED	11/01/2010	
ARCA	GS	12/04/2009	APPROVED	12/04/2009	
AZ	AG	12/04/2009	APPROVED	12/04/2009	
BATS-ZX	GS	11/01/2010	APPROVED	11/01/2010	
BOX	GP	05/14/2012	APPROVED	05/14/2012	
BOX	GS	05/14/2012	APPROVED	05/14/2012	
BX	GP	11/01/2010	APPROVED	11/01/2010	
BX	GS	11/01/2010	APPROVED	11/01/2010	
CA	AG	12/04/2009	APPROVED	12/04/2009	
CBOE	GS	12/09/2009	APPROVED	12/04/2009	
CHX	GP	11/01/2010	APPROVED	11/01/2010	
CHX	GS	11/01/2010	APPROVED	11/01/2010	
CO	AG	12/04/2009	APPROVED	12/04/2009	
CT	AG	12/04/2009	APPROVED	12/04/2009	
DC	AG	12/04/2009	APPROVED	12/04/2009	
DE	AG	12/04/2009	APPROVED	12/04/2009	
FINRA	IB	04/28/2010	APPROVED	04/28/2010	
FINRA	GP	12/09/2009	APPROVED	12/04/2009	
FINRA	GS	12/09/2009	APPROVED	12/04/2009	
FL	AG	12/04/2009	APPROVED	12/04/2009	
GA	AG	12/04/2009	APPROVED	12/04/2009	
HI	AG	12/04/2009	APPROVED	12/04/2009	
IA	AG	12/04/2009	APPROVED	12/04/2009	
ID	AG	12/04/2009	APPROVED	12/04/2009	
IL	AG	12/04/2009	APPROVED	12/04/2009	
IN	AG	02/16/2010	APPROVED	02/16/2010	
ISE	GP	04/18/2012	APPROVED	04/18/2012	
ISE	GS	12/04/2009	APPROVED	12/04/2009	
KS	AG	12/04/2009	APPROVED	12/04/2009	
KY	AG	12/04/2009	APPROVED	12/04/2009	
LA	AG	12/04/2009	APPROVED	12/04/2009	
MA	AG	02/24/2010	APPROVED	02/24/2010	
MD	AG	12/04/2009	APPROVED	12/04/2009	
ME	AG	12/04/2009	APPROVED	12/04/2009	
MI	AG	12/04/2009	APPROVED	12/04/2009	

Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information**Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
MN	AG	12/04/2009	APPROVED	12/04/2009
MO	AG	12/04/2009	APPROVED	12/04/2009
MS	AG	12/04/2009	APPROVED	12/04/2009
MT	AG	12/04/2009	APPROVED	12/04/2009
NC	AG	11/01/2010	APPROVED	11/01/2010
ND	AG	12/04/2009	APPROVED	12/04/2009
NE	AG	02/24/2010	APPROVED	02/24/2010
NH	AG	12/04/2009	APPROVED	12/04/2009
NJ	AG	12/04/2009	APPROVED	12/04/2009
NM	AG	02/24/2010	APPROVED	02/24/2010
NQX	GP	11/01/2010	APPROVED	11/01/2010
NQX	GS	12/09/2009	APPROVED	12/04/2009
NSX	GP	11/01/2010	APPROVED	11/01/2010
NSX	GS	11/01/2010	APPROVED	11/01/2010
NV	AG	04/26/2010	APPROVED	04/26/2010
NV	AG	03/04/2010	PURGED	
NY	AG	12/04/2009	APPROVED	12/04/2009
NYSE	GP	06/26/2010	APPROVED	06/26/2010
NYSE	GS	12/09/2009	APPROVED	12/04/2009
NYSE-MKT	GP	11/01/2010	APPROVED	11/01/2010
NYSE-MKT	GS	12/09/2009	APPROVED	12/04/2009
OH	AG	11/01/2010	APPROVED	11/01/2010
OK	AG	12/04/2009	APPROVED	12/04/2009
OR	AG	02/16/2010	APPROVED	02/16/2010
PA	AG	02/24/2010	APPROVED	02/24/2010
PHLX	GP	04/18/2012	APPROVED	04/18/2012
PHLX	GS	12/09/2009	APPROVED	12/04/2009
PR	AG	12/04/2009	APPROVED	12/04/2009
RI	AG	12/04/2009	APPROVED	12/04/2009
SC	AG	12/04/2009	APPROVED	12/04/2009
SD	AG	12/04/2009	APPROVED	12/04/2009
TN	AG	12/04/2009	APPROVED	12/04/2009
TX	AG	12/04/2009	APPROVED	12/04/2009
UT	AG	01/19/2010	APPROVED	01/19/2010
VA	AG	02/16/2010	APPROVED	02/16/2010
VI	AG	12/04/2009	APPROVED	12/04/2009
VT	AG	12/04/2009	APPROVED	12/04/2009
WA	AG	12/04/2009	APPROVED	12/04/2009
WI	AG	12/04/2009	APPROVED	12/04/2009
WV	AG	11/01/2010	APPROVED	11/01/2010
WV	AG	03/04/2010	PURGED	
WY	AG	12/04/2009	APPROVED	12/04/2009

Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information**Registrations with Previous Employer(s)**

From 12/03/2009 To 11/01/2010 BANC OF AMERICA SECURITIES LLC(26091)

Reason for Termination Voluntary

Termination Comment MASS TRANSFER = 167165

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	11/01/2010	T_NOMT	12/04/2009
AL	AG	11/01/2010	T_NOMT	12/04/2009
AR	AG	11/01/2010	T_NOMT	12/04/2009
ARCA	GP	11/01/2010	MASS_TRNSF	12/04/2009
ARCA	GS	11/01/2010	T_NOMT	12/04/2009
AZ	AG	11/01/2010	T_NOMT	12/04/2009
BATS-ZX	GS	11/01/2010	MASS_TRNSF	12/04/2009
BX	GP	11/01/2010	MASS_TRNSF	12/04/2009
BX	GS	11/01/2010	MASS_TRNSF	12/04/2009
CA	AG	11/01/2010	T_NOMT	12/04/2009
CBOE	GS	05/03/2010	T_NOU5	12/04/2009
CHX	GP	11/01/2010	MASS_TRNSF	12/04/2009
CHX	GS	11/01/2010	MASS_TRNSF	12/04/2009
CO	AG	11/01/2010	T_NOMT	12/04/2009
CT	AG	11/01/2010	T_NOMT	12/04/2009
DC	AG	11/01/2010	T_NOMT	12/04/2009
DE	AG	11/01/2010	T_NOMT	12/04/2009
FINRA	GP	11/01/2010	T_NOMT	12/04/2009
FINRA	GS	11/01/2010	T_NOMT	12/04/2009
FINRA	IB	11/01/2010	T_NOMT	04/28/2010
FL	AG	11/01/2010	T_NOMT	12/04/2009
GA	AG	11/01/2010	T_NOMT	12/04/2009
HI	AG	11/01/2010	T_NOMT	12/04/2009
IA	AG	11/01/2010	T_NOMT	12/04/2009
ID	AG	11/01/2010	T_NOMT	12/04/2009
IL	AG	11/01/2010	T_NOMT	12/04/2009
IN	AG	11/01/2010	T_NOMT	12/04/2009
ISE	GS	11/01/2010	T_NOMT	12/04/2009
KS	AG	11/01/2010	T_NOMT	12/04/2009
KY	AG	11/01/2010	T_NOMT	12/04/2009
LA	AG	11/01/2010	T_NOMT	12/04/2009
MA	AG	11/01/2010	T_NOMT	12/04/2009
MD	AG	11/01/2010	T_NOMT	12/04/2009
ME	AG	11/01/2010	T_NOMT	12/04/2009
MI	AG	11/01/2010	T_NOMT	12/04/2009
MN	AG	11/01/2010	T_NOMT	12/04/2009
MO	AG	11/01/2010	T_NOMT	12/04/2009
MS	AG	11/01/2010	T_NOMT	12/04/2009
MT	AG	11/01/2010	T_NOMT	12/04/2009

Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NC	AG	11/01/2010	MASS_TRNSF	12/04/2009
ND	AG	11/01/2010	T_NOMT	12/04/2009
NE	AG	11/01/2010	T_NOMT	12/04/2009
NH	AG	11/01/2010	T_NOMT	12/04/2009
NJ	AG	11/01/2010	T_NOMT	12/04/2009
NM	AG	11/01/2010	T_NOMT	12/04/2009
NQX	GP	11/01/2010	MASS_TRNSF	12/04/2009
NQX	GS	11/01/2010	T_NOMT	12/04/2009
NSX	GP	11/01/2010	MASS_TRNSF	12/04/2009
NSX	GS	11/01/2010	MASS_TRNSF	12/04/2009
NV	AG	11/01/2010	T_NOMT	12/04/2009
NY	AG	11/01/2010	T_NOMT	12/04/2009
NYSE	GP	11/01/2010	T_NOMT	06/26/2010
NYSE	GS	11/01/2010	T_NOMT	12/04/2009
NYSE-MKT	GP	11/01/2010	MASS_TRNSF	12/04/2009
NYSE-MKT	GS	11/01/2010	T_NOMT	12/04/2009
OH	AG	11/01/2010	MASS_TRNSF	12/04/2009
OK	AG	11/01/2010	T_NOMT	12/04/2009
OR	AG	11/01/2010	T_NOMT	12/04/2009
PA	AG	11/01/2010	T_NOMT	12/04/2009
PHLX	GS	11/01/2010	T_NOMT	12/04/2009
PR	AG	11/01/2010	T_NOMT	12/04/2009
RI	AG	11/01/2010	T_NOMT	12/04/2009
SC	AG	11/01/2010	T_NOMT	12/04/2009
SD	AG	11/01/2010	T_NOMT	12/04/2009
TN	AG	11/01/2010	T_NOMT	12/04/2009
TX	AG	11/01/2010	T_NOMT	12/04/2009
UT	AG	11/01/2010	T_NOMT	12/04/2009
VA	AG	11/01/2010	T_NOMT	12/04/2009
VI	AG	11/01/2010	T_NOMT	12/04/2009
VT	AG	11/01/2010	T_NOMT	12/04/2009
WA	AG	11/01/2010	T_NOMT	12/04/2009
WI	AG	11/01/2010	T_NOMT	12/04/2009
WV	AG	11/01/2010	MASS_TRNSF	12/04/2009
WY	AG	11/01/2010	T_NOMT	12/04/2009

From 10/01/2008 To 12/02/2009 J.P. MORGAN SECURITIES INC.(79)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	12/04/2009	TERMED	10/01/2008
AL	AG	12/04/2009	TERMED	10/01/2008
AR	AG	12/04/2009	TERMED	10/01/2008

Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ARCA	GP	12/04/2009	TERMED	10/01/2008
ARCA	GS	12/04/2009	TERMED	10/01/2008
AZ	AG	12/04/2009	TERMED	10/01/2008
BX	GP	12/04/2009	TERMED	09/29/2009
BX	GS	12/04/2009	TERMED	09/29/2009
CA	AG	12/04/2009	TERMED	10/01/2008
CBOE	GS	12/04/2009	TERMED	10/01/2008
CO	AG	12/04/2009	TERMED	10/01/2008
CT	AG	12/04/2009	TERMED	10/01/2008
DC	AG	12/04/2009	TERMED	10/01/2008
DE	AG	12/04/2009	TERMED	10/01/2008
FINRA	GP	12/04/2009	TERMED	10/01/2008
FINRA	GS	12/04/2009	TERMED	10/01/2008
FL	AG	12/04/2009	TERMED	10/01/2008
GA	AG	12/04/2009	TERMED	10/01/2008
HI	AG	12/04/2009	TERMED	10/01/2008
IA	AG	12/04/2009	TERMED	10/01/2008
ID	AG	12/04/2009	TERMED	10/01/2008
IL	AG	12/04/2009	TERMED	10/01/2008
IN	AG	12/04/2009	TERMED	10/01/2008
ISE	GS	12/04/2009	TERMED	10/01/2008
KS	AG	12/04/2009	TERMED	10/01/2008
KY	AG	12/04/2009	TERMED	10/01/2008
LA	AG	12/04/2009	TERMED	10/01/2008
MA	AG	12/04/2009	TERMED	10/01/2008
MD	AG	12/04/2009	TERMED	10/01/2008
ME	AG	12/04/2009	TERMED	10/01/2008
MI	AG	12/04/2009	TERMED	10/01/2008
MN	AG	12/04/2009	TERMED	10/01/2008
MO	AG	12/04/2009	TERMED	10/01/2008
MS	AG	12/04/2009	TERMED	10/01/2008
MT	AG	12/04/2009	TERMED	10/01/2008
NC	AG	12/04/2009	TERMED	10/01/2008
ND	AG	12/04/2009	TERMED	10/01/2008
NE	AG	12/04/2009	TERMED	10/01/2008
NH	AG	12/04/2009	TERMED	10/01/2008
NJ	AG	12/04/2009	TERMED	10/01/2008
NM	AG	12/04/2009	TERMED	10/01/2008
NQX	GP	12/04/2009	TERMED	10/01/2008
NQX	GS	12/04/2009	TERMED	10/01/2008
NV	AG	12/04/2009	TERMED	10/01/2008
NY	AG	12/04/2009	TERMED	10/01/2008

Individual 2023832 - GRILLO, ROBERT MITCHELL**Administrative Information****Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NYSE	GS	12/04/2009	TERMED	10/01/2008
NYSE-MKT	GP	12/04/2009	TERMED	10/01/2008
NYSE-MKT	GS	12/04/2009	TERMED	10/01/2008
OH	AG	12/04/2009	TERMED	10/01/2008
OK	AG	12/04/2009	TERMED	10/01/2008
OR	AG	12/04/2009	TERMED	10/01/2008
PA	AG	12/04/2009	TERMED	10/01/2008
PHLX	GS	12/04/2009	TERMED	10/01/2008
PR	AG	12/04/2009	TERMED	10/01/2008
RI	AG	12/04/2009	TERMED	10/01/2008
SC	AG	12/04/2009	TERMED	10/01/2008
SD	AG	12/04/2009	TERMED	10/01/2008
TN	AG	12/04/2009	TERMED	10/01/2008
TX	AG	12/04/2009	TERMED	10/01/2008
UT	AG	12/04/2009	TERMED	10/01/2008
VA	AG	12/04/2009	TERMED	10/01/2008
VT	AG	12/04/2009	TERMED	10/01/2008
WA	AG	12/04/2009	TERMED	10/01/2008
WI	AG	12/04/2009	TERMED	10/01/2008
WV	AG	12/04/2009	TERMED	10/01/2008
WY	AG	12/04/2009	TERMED	10/01/2008

From 07/02/2007 To 10/01/2008 J.P. MORGAN SECURITIES INC.(18718)

Reason for Termination Voluntary

Termination Comment MASS TRANSFER = 166103

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	10/01/2008	MASS_TRNSF	07/10/2007
AL	AG	10/01/2008	MASS_TRNSF	07/10/2007
AR	AG	10/01/2008	MASS_TRNSF	07/10/2007
ARCA	GP	10/01/2008	MASS_TRNSF	07/05/2007
ARCA	GS	10/01/2008	MASS_TRNSF	07/05/2007
AZ	AG	10/01/2008	MASS_TRNSF	07/10/2007
CA	AG	10/01/2008	MASS_TRNSF	07/10/2007
CBOE	GS	10/01/2008	MASS_TRNSF	07/05/2007
CO	AG	10/01/2008	MASS_TRNSF	07/10/2007
CT	AG	10/01/2008	MASS_TRNSF	07/10/2007
DC	AG	10/01/2008	MASS_TRNSF	07/10/2007
DE	AG	10/01/2008	MASS_TRNSF	07/10/2007
FINRA	GP	10/01/2008	MASS_TRNSF	07/05/2007
FINRA	GS	10/01/2008	MASS_TRNSF	07/05/2007
FL	AG	10/01/2008	MASS_TRNSF	07/10/2007
GA	AG	10/01/2008	MASS_TRNSF	07/10/2007
HI	AG	10/01/2008	MASS_TRNSF	07/10/2007

Individual 2023832 - GRILLO, ROBERT MITCHELL**Administrative Information****Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
IA	AG	10/01/2008	MASS_TRNSF	07/10/2007
ID	AG	10/01/2008	MASS_TRNSF	07/10/2007
IL	AG	10/01/2008	MASS_TRNSF	07/10/2007
IN	AG	10/01/2008	MASS_TRNSF	07/10/2007
ISE	GS	10/01/2008	MASS_TRNSF	11/16/2007
KS	AG	10/01/2008	MASS_TRNSF	07/10/2007
KY	AG	10/01/2008	MASS_TRNSF	07/10/2007
LA	AG	10/01/2008	MASS_TRNSF	07/10/2007
MA	AG	10/01/2008	MASS_TRNSF	07/10/2007
MD	AG	10/01/2008	MASS_TRNSF	07/10/2007
ME	AG	10/01/2008	MASS_TRNSF	07/10/2007
MI	AG	10/01/2008	MASS_TRNSF	07/10/2007
MN	AG	10/01/2008	MASS_TRNSF	07/10/2007
MO	AG	10/01/2008	MASS_TRNSF	07/10/2007
MS	AG	10/01/2008	MASS_TRNSF	07/10/2007
MT	AG	10/01/2008	MASS_TRNSF	07/10/2007
NC	AG	10/01/2008	MASS_TRNSF	07/10/2007
ND	AG	10/01/2008	MASS_TRNSF	07/10/2007
NE	AG	10/01/2008	MASS_TRNSF	07/10/2007
NH	AG	10/01/2008	MASS_TRNSF	07/10/2007
NJ	AG	10/01/2008	MASS_TRNSF	07/10/2007
NM	AG	10/01/2008	MASS_TRNSF	07/10/2007
NQX	GP	10/01/2008	MASS_TRNSF	07/05/2007
NQX	GS	10/01/2008	MASS_TRNSF	07/05/2007
NV	AG	10/01/2008	MASS_TRNSF	07/10/2007
NY	AG	10/01/2008	MASS_TRNSF	07/10/2007
NYSE	GS	10/01/2008	MASS_TRNSF	07/05/2007
NYSE-MKT	GP	10/01/2008	MASS_TRNSF	07/05/2007
NYSE-MKT	GS	10/01/2008	MASS_TRNSF	07/05/2007
OH	AG	10/01/2008	MASS_TRNSF	07/10/2007
OK	AG	10/01/2008	MASS_TRNSF	07/10/2007
OR	AG	10/01/2008	MASS_TRNSF	07/10/2007
PA	AG	10/01/2008	MASS_TRNSF	07/10/2007
PHLX	GS	10/01/2008	MASS_TRNSF	07/05/2007
PR	AG	10/01/2008	MASS_TRNSF	07/10/2007
RI	AG	10/01/2008	MASS_TRNSF	07/10/2007
SC	AG	10/01/2008	MASS_TRNSF	07/10/2007
SD	AG	10/01/2008	MASS_TRNSF	07/10/2007
TN	AG	10/01/2008	MASS_TRNSF	07/10/2007
TX	AG	10/01/2008	MASS_TRNSF	07/10/2007
UT	AG	10/01/2008	MASS_TRNSF	07/10/2007
VA	AG	10/01/2008	MASS_TRNSF	07/10/2007

Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
VT	AG	10/01/2008	MASS_TRNSF	07/10/2007
WA	AG	10/01/2008	MASS_TRNSF	07/10/2007
WI	AG	10/01/2008	MASS_TRNSF	07/10/2007
WV	AG	10/01/2008	MASS_TRNSF	07/10/2007
WY	AG	10/01/2008	MASS_TRNSF	07/10/2007

From 05/24/2005 To 05/03/2007 HSBC SECURITIES (USA) INC.(19585)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ARCA	GS	05/08/2007	TERMED	07/07/2005
FINRA	GP	05/08/2007	TERMED	07/07/2005
FINRA	GS	05/08/2007	TERMED	07/07/2005
NQX	GP	05/08/2007	TERMED	07/12/2006
NQX	GS	05/08/2007	TERMED	07/12/2006
PHLX	GS	05/08/2007	TERMED	07/07/2005

From 06/11/2002 To 09/10/2003 CREDIT SUISSE FIRST BOSTON LLC(816)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ARCA	GS	09/12/2003	TERMED	06/13/2002
CBOE	GS	09/12/2003	TERMED	06/13/2002
FINRA	GP	09/12/2003	TERMED	06/13/2002
FINRA	GS	09/12/2003	TERMED	06/13/2002
FINRA	IR	09/12/2003	TERMED	06/13/2002
NY	AG	09/12/2003	TERMED	06/13/2002
NYSE	GS	09/12/2003	TERMED	06/13/2002
NYSE	IR	09/12/2003	TERMED	06/13/2002
NYSE-MKT	GS	09/12/2003	TERMED	06/13/2002
PHLX	GS	09/12/2003	TERMED	06/13/2002

From 08/27/2001 To 06/05/2002 DEUTSCHE BANK SECURITIES INC.(2525)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ARCA	GS	06/21/2002	TERMED	09/18/2001
CBOE	GS	06/21/2002	TERMED	09/18/2001
FINRA	GP	06/21/2002	TERMED	09/18/2001
FINRA	GS	06/21/2002	TERMED	09/18/2001
FINRA	IR	06/21/2002	TERMED	09/18/2001
NY	AG	06/21/2002	TERMED	09/18/2001
NYSE	GS	06/21/2002	TERMED	09/18/2001
NYSE	IR	06/21/2002	TERMED	09/18/2001

Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NYSE-MKT	GS	06/21/2002	TERMED	09/18/2001
PHLX	GS	06/21/2002	TERMED	09/18/2001

From 04/09/2001 To 08/24/2001 CDC IXIS ASSET MANAGEMENT DISTRIBUTORS, L.P.(34754)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GP	08/30/2001	TERMED	04/09/2001
FINRA	GS	08/30/2001	TERMED	04/09/2001
FINRA	IR	08/30/2001	TERMED	04/09/2001
NY	AG	08/30/2001	TERMED	04/09/2001

From 05/15/2000 To 04/09/2001 FUNDS DISTRIBUTOR, INC.(7174)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GP	04/09/2001	TERMED	05/15/2000
FINRA	GS	04/09/2001	TERMED	05/15/2000
FINRA	IR	04/09/2001	TERMED	05/15/2000
NY	AG	04/09/2001	TERMED	05/15/2000

From 01/13/1999 To 01/03/2000 ALPHA STRATEGIC MANAGEMENT, LTD.(47313)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GP	02/02/2000	TERMED	09/29/1999
FINRA	GS	02/02/2000	TERMED	09/29/1999
FL	AG	02/02/2000	TERMED	10/04/1999

From 03/01/1999 To 10/15/1999 S. W. RYAN & COMPANY, INC.(21669)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	10/21/1999	TERMED	03/23/1999

From 11/06/1995 To 01/12/1999 ADAMS, VINER, & MOSLER, LTD.(16710)

Reason for Termination Voluntary

Termination Comment Voluntary

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	01/27/1999	TERMED	01/11/1996
FL	AG	01/27/1999	TERMED	01/16/1996

From 08/29/1994 To 09/18/1995 J.P. MORGAN SECURITIES INC.(15733)

Reason for Termination Other

Termination Comment TRANSFERRED TO AN AFFLIAITE COMPANY.

Regulator	Registration Category	Status Date	Registration Status	Approval Date
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Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ARCA	GS	11/10/1995	TERMED	10/04/1994
CA	AG	11/10/1995	TERMED	10/17/1994
CBOE	GS	11/10/1995	TERMED	10/04/1994
CT	AG	11/10/1995	TERMED	10/04/1994
DC	AG	11/10/1995	TERMED	10/05/1994
DE	AG	11/10/1995	TERMED	10/04/1994
FINRA	GS	11/10/1995	TERMED	10/04/1994
FL	AG	11/10/1995	TERMED	10/05/1994
GA	AG	11/10/1995	TERMED	10/04/1994
IA	AG	11/10/1995	TERMED	10/17/1994
IL	AG	11/10/1995	TERMED	10/17/1994
IN	AG	11/10/1995	TERMED	10/17/1994
KS	AG	11/10/1995	TERMED	10/17/1994
LA	AG	11/10/1995	TERMED	10/04/1994
MA	AG	11/10/1995	TERMED	10/04/1994
MD	AG	11/10/1995	TERMED	10/04/1994
ME	AG	11/10/1995	TERMED	10/04/1994
MI	AG	11/10/1995	TERMED	10/17/1994
MO	AG	11/10/1995	TERMED	10/19/1994
NC	AG	11/10/1995	TERMED	10/04/1994
NH	AG	11/10/1995	TERMED	10/04/1994
NJ	AG	11/10/1995	TERMED	10/19/1994
NY	AG	11/10/1995	TERMED	10/04/1994
NYSE	GS	11/10/1995	TERMED	10/04/1994
OH	AG	11/10/1995	TERMED	10/05/1994
PA	AG	11/10/1995	TERMED	10/04/1994
PHLX	GS	11/10/1995	TERMED	10/04/1994
RI	AG	11/10/1995	TERMED	10/06/1994
SC	AG	11/10/1995	TERMED	10/07/1994
TN	AG	11/10/1995	TERMED	10/04/1994
TX	AG	11/10/1995	TERMED	10/04/1994
VA	AG	11/10/1995	TERMED	10/04/1994
VT	AG	11/10/1995	TERMED	10/04/1994

From 06/06/1994 To 08/24/1994 GOLDMAN, SACHS & CO.(361)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AL	AG	09/07/1994	TERMED	06/30/1994
ARCA	GS	09/07/1994	TERMED	06/17/1994
CBOE	GS	09/07/1994	TERMED	06/17/1994
CT	AG	09/07/1994	TERMED	06/30/1994
DC	AG	09/07/1994	TERMED	07/01/1994

Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information**Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
DE	AG	09/07/1994	TERMED	06/30/1994
FINRA	GS	09/07/1994	TERMED	06/17/1994
FL	AG	09/07/1994	TERMED	07/06/1994
GA	AG	09/07/1994	TERMED	06/30/1994
KY	AG	09/07/1994	TERMED	07/05/1994
LA	AG	09/07/1994	TERMED	07/01/1994
MD	AG	09/07/1994	TERMED	06/30/1994
MN	AG	09/07/1994	TERMED	07/01/1994
MS	AG	09/07/1994	TERMED	07/01/1994
NC	AG	09/07/1994	TERMED	07/01/1994
NJ	AG	09/07/1994	TERMED	07/01/1994
NY	AG	09/07/1994	TERMED	06/30/1994
NYSE	GS	09/07/1994	TERMED	06/17/1994
NYSE-MKT	GS	09/07/1994	TERMED	06/17/1994
PA	AG	09/07/1994	TERMED	06/30/1994
PHLX	GS	09/07/1994	TERMED	06/17/1994
SC	AG	09/07/1994	TERMED	07/01/1994
VA	AG	09/07/1994	TERMED	07/01/1994
WI	AG	09/07/1994	TERMED	07/01/1994
WV	AG	09/07/1994	TERMED	07/01/1994

From 01/14/1991 To 06/03/1994 J.P. MORGAN SECURITIES INC.(15733)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AL	AG	12/31/1991	TERMED	01/21/1991
AZ	AG	12/31/1991	TERMED	01/23/1991
CA	AG	06/07/1994	TERMED	01/21/1991
CBOE	GS	06/07/1994	TERMED	03/03/1991
CO	AG	12/31/1993	TERMED	01/21/1991
CT	AG	06/07/1994	TERMED	01/21/1991
DC	AG	06/07/1994	TERMED	01/25/1991
DE	AG	06/07/1994	TERMED	01/21/1991
FINRA	GS	06/07/1994	TERMED	01/21/1991
FL	AG	06/07/1994	TERMED	01/22/1991
GA	AG	12/31/1993	TERMED	01/21/1991
HI	AG	12/31/1991	TERMED	01/23/1991
IA	AG	06/07/1994	TERMED	02/02/1994
IL	AG	06/07/1994	TERMED	01/21/1991
IN	AG	06/07/1994	TERMED	01/21/1991
KS	AG	06/07/1994	TERMED	01/06/1994
KY	AG	12/31/1993	TERMED	01/22/1991
LA	AG	06/07/1994	TERMED	01/22/1991

Individual 2023832 - GRILLO, ROBERT MITCHELL**Administrative Information****Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
MA	AG	06/07/1994	TERMED	01/21/1991
MD	AG	06/07/1994	TERMED	01/21/1991
ME	AG	06/07/1994	TERMED	01/24/1991
MI	AG	06/07/1994	TERMED	01/22/1991
MN	AG	12/31/1993	TERMED	01/23/1991
MO	AG	06/07/1994	TERMED	01/22/1991
NC	AG	06/07/1994	TERMED	01/22/1991
NH	AG	06/07/1994	TERMED	05/19/1994
NJ	AG	06/07/1994	TERMED	01/22/1991
NM	AG	12/31/1991	TERMED	01/21/1991
NY	AG	06/07/1994	TERMED	01/21/1991
NYSE	GS	06/07/1994	TERMED	01/24/1991
OH	AG	06/07/1994	TERMED	01/22/1991
OR	AG	12/31/1991	TERMED	01/21/1991
PA	AG	06/07/1994	TERMED	01/21/1991
RI	AG	06/07/1994	TERMED	01/22/1991
SC	AG	06/07/1994	TERMED	01/22/1991
TN	AG	06/07/1994	TERMED	01/22/1991
TX	AG	06/07/1994	TERMED	01/22/1991
UT	AG	12/31/1991	TERMED	01/21/1991
VA	AG	06/07/1994	TERMED	01/22/1991
VT	AG	06/07/1994	TERMED	05/20/1994
WA	AG	06/07/1994	TERMED	01/21/1991
WI	AG	06/07/1994	TERMED	01/07/1994

From 10/01/1990 To 11/13/1990 AMERICAN EXPRESS FINANCIAL ADVISORS INC.(6363)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	11/15/1990	TERMED	09/24/1990
FINRA	IR	11/15/1990	TERMED	09/05/1990
NY	AG	11/15/1990	TERMED	09/05/1990

From 09/05/1990 To 11/13/1990 IDS LIFE INSURANCE COMPANY(6321)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	11/15/1990	TERMED	09/24/1990
FINRA	IR	11/15/1990	TERMED	09/05/1990

From 11/11/1989 To 09/05/1990 THE DREYFUS SERVICE CORPORATION(231)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
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CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

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Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	IR	09/07/1990	TERMED	07/31/1990
NY	AG	09/07/1990	TERMED	07/31/1990

Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information**Professional Designations**

<<No Professional Designations found for this Individual.>>

Employment History

From	12/2009	To	Present	Name	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
				Location	NEW YORK, NY, USA
				Position	MANAGING DIRECTOR; HEAD OF SEC/PRODUCT SALES
				Investment Related	Yes
From	10/2008	To	Present	Name	BEAR, STEARNS & CO. INC.
				Location	NEW YORK, NY
				Position	Mass Transfer
				Investment Related	Yes
From	12/2009	To	11/2010	Name	BANC OF AMERICA SECURITIES LLC
				Location	NEW YORK, NY, USA
				Position	MANAGING DIRECTOR
				Investment Related	Yes
From	07/2007	To	12/2009	Name	JP MORGAN SECURITIES INC.
				Location	NEW YORK, NY, USA
				Position	FIXED INCOME SALES
				Investment Related	Yes
From	05/2005	To	07/2007	Name	HSBC SECURITIES (USA) INC.
				Location	NEW YORK, NY, UNITED STATES
				Position	M.D.
				Investment Related	Yes
From	09/2003	To	05/2005	Name	BLACK RIVER ASSET MGT.
				Location	NEW YORK, NY, UNITED STATES
				Position	SENIOR M.D.
				Investment Related	Yes
From	06/2002	To	09/2003	Name	CREDIT SUISSE FIRST BOSTON CORPORATION
				Location	NEW YORK, NY, USA
				Position	DIRECTOR
				Investment Related	Yes
From	08/2001	To	06/2002	Name	DEUTSCHE BANC ALEX. BROWN, INC.

Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information

Employment History

			Location	NEW YORK, NY, USA
			Position	DIRECTOR
			Investment Related	Yes
From	08/2001	To	06/2002	Name DEUTSCHE BANK AG NEW YORK
			Location	NEW YORK, NY, USA
			Position	DIRECTOR
			Investment Related	Yes
From	04/2001	To	08/2001	Name NVEST FUNDS DISTRIBUTOR, LP
			Location	BOSTON, MA, USA
			Position	SR. PORTFOLIO MANAGER
			Investment Related	Yes
From	04/2000	To	08/2001	Name CDC INVESTMENT MANAGMENT CORP
			Location	NEW YORK, NY, USA
			Position	SR. PORTFOLIO MANAGER
			Investment Related	Yes
From	04/2000	To	04/2001	Name FUNDS DISTRIBUTOR, INC.
			Location	BOSTON, MA, USA
			Position	SR. PORTFOLIO MANAGER
			Investment Related	Yes
From	01/2000	To	04/2000	Name UNEMPLOYED
			Location	PALM BEACH GARDENS, NY, USA
			Position	UNEMPLOYED
			Investment Related	No
From	01/1999	To	01/2000	Name ALPHA STRATEGIC MANAGEMENT, LTD.
			Location	NORTH PALM BEACH, FL, USA
			Position	HEAD TRADER PRINCIPAL
			Investment Related	Yes
From	03/1999	To	08/1999	Name S. W. RYAN & COMPANY, INC.
			Location	BALA CYNWYD, PA, USA
			Position	HEAD TRADER- PRINCIPAL- ALPH UNIT
			Investment Related	Yes
From	11/1995	To	01/1999	Name ADAMS, VINER, & MOSLER, LTD.
			Location	WEST PALM BEACH, FL, USA

Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information**Employment History**

			Position	TRADER- PORTFOLIO MANAGER
			Investment Related	Yes
From	08/1994	To	09/1995	
			Name	J.P. MORGAN SECURITIES INC.
			Location	NEW YORK, NY, USA
			Position	FIXED INCOME SALES
			Investment Related	Yes
From	06/1994	To	08/1994	
			Name	GOLDMAN, SACHS & CO.
			Location	NEW YORK, NY, USA
			Position	FIXED INCOME SALES
			Investment Related	Yes
From	01/1991	To	06/1994	
			Name	J.P. MORGAN SECURITIES INC.
			Location	NEW YORK, NY, USA
			Position	FIXED INCOME SALES
			Investment Related	Yes
From	10/1990	To	11/1990	
			Name	AMERICAN EXPRESS FINANCIAL ADVISORS INC.
			Location	MINEOLA, NY, USA
			Position	FINANCIAL PLANNER
			Investment Related	Yes
From	09/1990	To	11/1990	
			Name	IDS LIFE INSURANCE COMPANY
			Location	MINEOLA, NY, USA
			Position	FINANCIAL PLANNER
			Investment Related	Yes
From	11/1989	To	09/1990	
			Name	THE DREYFUS SERVICE CORPORATION
			Location	GARDEN CITY, NY, USA
			Position	CUSTOMER SERVICE REPRESENTATIVE
			Investment Related	Yes
From	09/1988	To	05/1990	
			Name	ST. JOHN'S UNIVERSITY
			Location	JAMAICA, NY, USA
			Position	STUDENT
			Investment Related	No
From	10/1988	To	10/1989	
			Name	J.T. MORAN & CO.
			Location	GARDEN CITY, NY, USA
			Position	RESEARCH ASSISTANT

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Snapshot - Individual

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Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information

Employment History

Investment Related No

Office of Employment History

From 12/2009 To Present

Name MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	06/01/2013		Located At
	Address 2 KING EDWARD STREET LONDON, EC1A 1HQ UNITED KINGDOM						
391792	080-3LFB	080-3LFB	Yes	No	12/03/2009		Located At
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES						

From 12/2009 To 11/2010

Name BANC OF AMERICA SECURITIES LLC(26091)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
90398	38	38	Yes	No	12/03/2009	11/01/2010	Located At
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES						

From 10/2008 To 12/2009

Name J.P. MORGAN SECURITIES INC.(79)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
382127	FI-382127		Yes	No	10/01/2008	12/02/2009	Located At
	Address 270 PARK AVENUE, FLOORS 4, 5, 7, 8, AND 10 NEW YORK, NY 10017 UNITED STATES						

From 07/2007 To 10/2008

Name J.P. MORGAN SECURITIES INC.(18718)

Independent Contractor No

Office of Employment Address

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Individual 2023832 - GRILLO, ROBERT MITCHELL

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Office of Employment History

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
200965	JP-200965		Yes	No	07/02/2007	10/01/2008	Located At

Address 270/277 PARK AVENUE
NEW YORK, NY 10017-2014 UNITED STATES

From 05/2005 To 05/2007

Name HSBC SECURITIES (USA) INC.(19585)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
BD Main	1210NY		Yes	No	05/24/2005	05/03/2007	Located At

Address 452 FIFTH AVENUE
NEW YORK CITY, NY 10018 UNITED STATES

Address 452 FIFTH AVENUE
NEW YORK, NY 10018 UNITED STATES

From 06/2002 To 09/2003

Name CREDIT SUISSE FIRST BOSTON LLC(816)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
		BD	No	No	06/11/2002	09/10/2003	Located At

Address 11 MADISON AVENUE
NEW YORK, NY 10010 USA

From 08/2001 To 06/2002

Name DEUTSCHE BANK SECURITIES INC.(2525)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
		943-010	No	No	08/27/2001	06/05/2002	Located At

Address 31 WEST 52ND STREET
NEW YORK, NY 10019 USA

From 04/2001 To 08/2001

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Individual 2023832 - GRILLO, ROBERT MITCHELL

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Office of Employment History

Name CDC IXIS ASSET MANAGEMENT DISTRIBUTORS, L.P.(34754)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
		11	No	No	04/09/2001	08/24/2001	Located At
Address 399 BOYLSTON STREET BOSTON, MA 02116 USA							

From 05/2000 To 04/2001

Name FUNDS DISTRIBUTOR, INC.(7174)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
		4450	No	No	05/15/2000	04/09/2001	Located At
Address 9 WEST 57TH STREET 35TH NEW YORK, NY 10019 USA							

From 01/1999 To 01/2000

Name ALPHA STRATEGIC MANAGEMENT, LTD.(47313)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	01/13/1999	01/03/2000	Located At
Address 11300 U.S. HIGHWAY 1 SUITE 400 NORTH PALM BEACH, FL 33408							

From 03/1999 To 10/1999

Name S. W. RYAN & COMPANY, INC.(21669)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	03/01/1999	10/15/1999	Located At
Address 111 PRESIDENTIAL BLVD., SUITE 246 BALA CYNWYD, PA 19004							

From 11/1995 To 01/1999

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Administrative Information

Office of Employment History

Name ADAMS, VINER, & MOSLER, LTD.(16710)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	11/06/1995	01/12/1999	Located At
Address 250 AUSTRALIAN AVENUE SOUTH, SUITE 600 WEST PALM BEACH, FL 33401							

From 08/1994 To 09/1995

Name J.P. MORGAN SECURITIES INC.(15733)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
		919/335	No	No	08/29/1994	09/18/1995	Located At
Address 60 WALL STREET NEW YORK, NY 10260							

From 06/1994 To 08/1994

Name GOLDMAN, SACHS & CO.(361)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	06/06/1994	08/24/1994	Located At
Address 85 BROAD ST NEW YORK, NY 10004							

From 01/1991 To 06/1994

Name J.P. MORGAN SECURITIES INC.(15733)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
		919/335	No	No	01/14/1991	06/03/1994	Located At
Address 60 WALL STREET NEW YORK, NY 10260							

From 10/1990 To 11/1990

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Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information

Office of Employment History

Name AMERICAN EXPRESS FINANCIAL ADVISORS INC.(6363)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
		118	No	No	10/01/1990	11/13/1990	Located At

Address 300 OLD COUNTRY RD
MINEOA, NY 11501

From 09/1990 To 11/1990

Name IDS LIFE INSURANCE COMPANY(6321)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
		118	No	No	09/05/1990	11/13/1990	Located At

Address 300 OLD COUNTRY RD
MINEOA, NY 11501

From 11/1989 To 09/1990

Name THE DREYFUS SERVICE CORPORATION(231)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	11/11/1989	09/05/1990	Located At

Address 666 OLD COUNTRY RD
GARDEN CITY, NY 11530

Other Business

COMPANY: SOVEREIGN DEED, LLC,
CAPACITY SERVE: NONE,
COMPENSATION: NONE,
ARE YOU A DIRECTOR? NO,
DOLLAR AMOUNT OF INVESTMENT: \$

Exam Appointments

<<No Exam Appointments found for this Individual.>>

Exam History

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S3	19941732	Window Expired	07/23/1999			0	-

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Individual 2023832 - GRILLO, ROBERT MITCHELL**Administrative Information****Exam History**

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S3	19941731	Official Result	04/09/1997	04/09/1997	Passed	85	-
S6	19941733	Official Result	03/02/1990	03/02/1990	Passed	81	-
S7	19941736	Official Result	09/20/1990	09/20/1990	Passed	77	-
S24	19941730	Official Result	05/03/1999	05/03/1999	Passed	79	-
S63	19941735	Official Result	07/10/2007	07/09/2007	Passed	85	07/06/2007-11/03/2007
S63	19941734	Official Result	02/09/1990	02/09/1990	Passed	80	-

CE Regulatory Element Status

Current CE Status REQUIRED

CE Base Date 07/31/1990

CE Appointments

Session ID	Enrollment ID	Appointment Status	Appointment Date	Appointment Vendor	Confirmation Number	Vendor Center ID	Location	Window Dates
201	33121490	Scheduled	10/16/2013	PEARSON VUE		50140	LONDON, UNITED KINGDOM	07/31/2013- 11/27/2013

Current CE

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201			07/31/2013-11/27/2013	
Anniversary	201	REQUIRED	07/31/2013	07/31/2013-11/27/2013	

Next CE

Window Dates	Requirement Type	Session
07/31/2016-11/27/2016	Anniversary	201

CE Directed Sequence History

<<No CE Directed Sequence History found for this Individual.>>

Inactive CE History Dates

From 11/28/2004	To 07/06/2005
From 11/28/1995	To 01/24/1996

Previous CE Requirement Status

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201	SATISFIED	10/04/2010	07/31/2010-11/27/2010	10/04/2010 - CMPLT
Anniversary	201	REQUIRED	08/02/2010	07/31/2010-11/27/2010	
Anniversary	101	SATISFIED	09/17/2007	07/31/2007-11/27/2007	09/17/2007 - CMPLT
Anniversary	101	REQUIRED	07/31/2007	07/31/2007-11/27/2007	
Anniversary	201	SATISFIED	07/06/2005	07/31/2004-11/27/2004	07/06/2005 - CMPLT
Anniversary	201	CEINACTIVE	11/28/2004	07/31/2004-11/27/2004	
Anniversary	201	REQUIRED	08/02/2004	07/31/2004-11/27/2004	
Anniversary	201	SATISFIED	10/09/2001	07/31/2001-11/27/2001	10/09/2001 - CMPLT
Anniversary	201	REQUIRED	07/31/2001	07/31/2001-11/27/2001	
Anniversary	101	SATISFIED	11/10/1998	07/31/1998-11/27/1998	

Individual 2023832 - GRILLO, ROBERT MITCHELL**Administrative Information****Previous CE Requirement Status**

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	101		11/10/1998	07/31/1998-11/27/1998	11/10/1998 - CMPLT
Anniversary	101		01/24/1996	07/31/1995-11/27/1995	01/24/1996 - CMPLT
Anniversary	101	SATISFIED	01/24/1996	07/31/1995-11/27/1995	
Anniversary	101	CEINACTIVE	11/28/1995	07/31/1995-11/27/1995	
Anniversary	101			07/31/1992-11/27/1992	

Filing History

Filing Date	Form Type	Filing type	Source
06/10/2013	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
06/07/2013	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
10/12/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
05/14/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/18/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	BANC OF AMERICA SECURITIES LLC (26091)
10/30/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
06/26/2010	U4	Admin	NYSE
06/26/2010	U4	Admin	NYSE
04/28/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/28/2010	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/27/2010	U4	Admin	NV
03/08/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
12/04/2009	U4	Relicense All	BANC OF AMERICA SECURITIES LLC (26091)
12/04/2009	U5	Full	J.P. MORGAN SECURITIES LLC (79)
09/30/2009	U4	Amendment	J.P. MORGAN SECURITIES LLC (79)
09/29/2009	U4	Amendment	J.P. MORGAN SECURITIES LLC (79)
06/18/2009	U4	Upload - New U4 Questions	J.P. MORGAN SECURITIES LLC (79)
03/30/2009	BR	Amendment	J.P. MORGAN SECURITIES LLC (79)
10/01/2008	MT	Mass Transfer	J.P. MORGAN SECURITIES LLC (79)
10/01/2008	MT	Mass Transfer	J.P. MORGAN SECURITIES INC. (18718)
02/05/2008	U4	Amendment	J.P. MORGAN SECURITIES INC. (18718)
11/16/2007	U4	Amendment	J.P. MORGAN SECURITIES INC. (18718)
07/10/2007	U4	Amendment	J.P. MORGAN SECURITIES INC. (18718)
07/05/2007	U4	Initial	J.P. MORGAN SECURITIES INC. (18718)
05/08/2007	U5	Full	HSBC SECURITIES (USA) INC. (19585)
07/29/2006	U4	Conversion	HSBC SECURITIES (USA) INC. (19585)

Individual 2023832 - GRILLO, ROBERT MITCHELL

Administrative Information**Filing History**

Filing Date	Form Type	Filing type	Source
05/05/2006	U4	Amendment	HSBC SECURITIES (USA) INC. (19585)
03/14/2006	U4	Amendment	HSBC SECURITIES (USA) INC. (19585)
06/13/2005	U4	Initial	HSBC SECURITIES (USA) INC. (19585)
09/12/2003	U5	Full	CREDIT SUISSE SECURITIES (USA) LLC (816)
06/21/2002	U5	Full	DEUTSCHE BANK SECURITIES INC. (2525)
06/13/2002	U4	Relicense All	CREDIT SUISSE SECURITIES (USA) LLC (816)
09/18/2001	U4	Relicense All	DEUTSCHE BANK SECURITIES INC. (2525)
08/30/2001	U5	Full	NGAM DISTRIBUTION, L.P. (34754)
04/09/2001	U4	Relicense All	NGAM DISTRIBUTION, L.P. (34754)
04/09/2001	U5	Full	FUNDS DISTRIBUTOR, LLC (7174)
05/15/2000	U4	Initial	FUNDS DISTRIBUTOR, LLC (7174)
02/02/2000	U5	Full	ALPHA STRATEGIC MANAGEMENT, LTD. (47313)
10/21/1999	U5	Full	RYAN & COMPANY, LP (21669)
07/05/1999	U4	Conversion	RYAN & COMPANY, LP (21669)
07/05/1999	U4	Conversion	ALPHA STRATEGIC MANAGEMENT, LTD. (47313)
07/05/1999	U5	Conversion	AVM, L.P. (16710)
07/05/1999	U4	Conversion	AVM, L.P. (16710)
07/05/1999	U5	Conversion	JPMSI (15733)
07/05/1999	U4	Conversion	JPMSI (15733)
07/05/1999	U5	Conversion	GOLDMAN, SACHS & CO. (361)
07/05/1999	U4	Conversion	GOLDMAN, SACHS & CO. (361)
07/05/1999	U5	Conversion	JPMSI (15733)
07/05/1999	U4	Conversion	JPMSI (15733)
07/05/1999	U5	Conversion	AMERIPRISE FINANCIAL SERVICES, INC. (6363)
07/05/1999	U4	Conversion	AMERIPRISE FINANCIAL SERVICES, INC. (6363)
07/05/1999	U5	Conversion	IDS LIFE INSURANCE COMPANY (6321)
07/05/1999	U4	Conversion	IDS LIFE INSURANCE COMPANY (6321)
07/05/1999	U5	Conversion	MBSC SECURITIES CORPORATION (231)
07/05/1999	U4	Conversion	MBSC SECURITIES CORPORATION (231)

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Individual 2023832 - GRILLO, ROBERT MITCHELL

Reportable Events

<<No Reportable Events found for this Individual.>>

Regulator Archive and Z Records

<<No Regulator Archive and Z Records found for this Individual.>>

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Notice

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FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA).

FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators.

Reportable Information: Information that is required to be reported on the current version of the uniform registration forms.

Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

Request Submitted: 10/9/2013 3:29:59 PM

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Details for Request#: 12436643
Report: Snapshot - Individual
Requested By: TLW

<u>Parameter Name</u>	<u>Value</u>
Request by CRD# or SSN:	CRD#
Individual CRD# or SSN	2024831
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business?	Yes
Include Exam Information?	Yes
Include Continuing Education Information? (CRD Only)	Yes
Include Filing History? (CRD Only)	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information? (CRD Only)	Yes
Is this a Pre-Registration Report Request? (CRD Only)	No

Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information

Composite Information

Full Legal Name MANELSKI, DENIS MARTIN

State of Residence CT

Active Employments

Current Employer MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Firm Main Address
 ONE BRYANT PARK
 NEW YORK
 NY, UNITED STATES
 10036

Firm Mailing Address
 222 BROADWAY
 NY3-222-12-05
 NEW YORK
 NY, UNITED STATES
 10038

Business Telephone# 800-637-7455

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
391792	080-3LFB	080-3LFB	Yes	No	03/19/2009		Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							

Reportable Disclosures? The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5).
 Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutory Disqualification? BLNK

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information

Individual CRD# 2024831

Other Names Known By MANELSKI, DENIS MARTIN
 MANELSKI, DENIS MARTIN

Year of Birth 1965

Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information**Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
From 03/19/2009 To Present		MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)		
AK	AG	03/19/2009	APPROVED	03/19/2009
AL	AG	03/19/2009	APPROVED	03/19/2009
AR	AG	03/19/2009	APPROVED	03/19/2009
ARCA	GP	03/19/2009	APPROVED	03/19/2009
ARCA	GS	03/19/2009	APPROVED	03/19/2009
AZ	AG	03/19/2009	APPROVED	03/19/2009
BATS-ZX	GS	03/19/2009	APPROVED	03/19/2009
BOX	GP	05/14/2012	APPROVED	05/14/2012
BOX	GS	05/14/2012	APPROVED	05/14/2012
BX	GP	03/19/2009	APPROVED	03/19/2009
BX	GS	03/19/2009	APPROVED	03/19/2009
CA	AG	03/19/2009	APPROVED	03/19/2009
CBOE	GS	04/13/2009	APPROVED	03/19/2009
CHX	GP	03/19/2009	APPROVED	03/19/2009
CHX	GS	03/19/2009	APPROVED	03/19/2009
CO	AG	03/19/2009	APPROVED	03/19/2009
CT	AG	03/19/2009	APPROVED	03/19/2009
DC	AG	03/19/2009	APPROVED	03/19/2009
DE	AG	03/19/2009	APPROVED	03/19/2009
FINRA	GP	04/13/2009	APPROVED	03/19/2009
FINRA	GS	04/13/2009	APPROVED	03/19/2009
FL	AG	03/19/2009	APPROVED	03/19/2009
GA	AG	03/19/2009	APPROVED	03/19/2009
HI	AG	03/19/2009	APPROVED	03/19/2009
IA	AG	03/19/2009	APPROVED	03/19/2009
ID	AG	03/19/2009	APPROVED	03/19/2009
IL	AG	03/19/2009	APPROVED	03/19/2009
IN	AG	04/24/2009	APPROVED	04/24/2009
ISE	GP	04/18/2012	APPROVED	04/18/2012
ISE	GS	03/19/2009	APPROVED	03/19/2009
KS	AG	03/19/2009	APPROVED	03/19/2009
KY	AG	03/19/2009	APPROVED	03/19/2009
LA	AG	03/19/2009	APPROVED	03/19/2009
MA	AG	04/16/2009	APPROVED	04/16/2009
MD	AG	03/19/2009	APPROVED	03/19/2009
ME	AG	03/19/2009	APPROVED	03/19/2009
MI	AG	03/19/2009	APPROVED	03/19/2009
MN	AG	03/19/2009	APPROVED	03/19/2009
MO	AG	03/19/2009	APPROVED	03/19/2009
MS	AG	03/19/2009	APPROVED	03/19/2009
MT	AG	03/19/2009	APPROVED	03/19/2009

Individual 2024831 - MANELSKI, DENIS MARTIN**Administrative Information****Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NC	AG	03/19/2009	APPROVED	03/19/2009
ND	AG	03/19/2009	APPROVED	03/19/2009
NE	AG	04/16/2009	APPROVED	04/16/2009
NH	AG	03/19/2009	APPROVED	03/19/2009
NJ	AG	03/19/2009	APPROVED	03/19/2009
NM	AG	05/12/2009	APPROVED	05/12/2009
NQX	GP	04/13/2009	APPROVED	03/19/2009
NQX	GS	04/13/2009	APPROVED	03/19/2009
NSX	GP	03/19/2009	APPROVED	03/19/2009
NSX	GS	03/19/2009	APPROVED	03/19/2009
NV	AG	05/05/2009	APPROVED	05/05/2009
NY	AG	03/19/2009	APPROVED	03/19/2009
NYSE	GP	06/26/2010	APPROVED	06/26/2010
NYSE	GS	04/13/2009	APPROVED	03/19/2009
NYSE-MKT	GP	04/13/2009	APPROVED	03/19/2009
NYSE-MKT	GS	04/13/2009	APPROVED	03/19/2009
OH	AG	03/19/2009	APPROVED	03/19/2009
OK	AG	03/19/2009	APPROVED	03/19/2009
OR	AG	04/28/2009	APPROVED	04/28/2009
PA	AG	04/21/2009	APPROVED	04/21/2009
PHLX	GP	04/18/2012	APPROVED	04/18/2012
PHLX	GS	04/13/2009	APPROVED	03/19/2009
PR	AG	03/19/2009	APPROVED	03/19/2009
RI	AG	03/19/2009	APPROVED	03/19/2009
SC	AG	03/19/2009	APPROVED	03/19/2009
SD	AG	03/19/2009	APPROVED	03/19/2009
TN	AG	03/19/2009	APPROVED	03/19/2009
TX	AG	03/19/2009	APPROVED	03/19/2009
UT	AG	04/22/2009	APPROVED	04/22/2009
VA	AG	04/28/2009	APPROVED	04/28/2009
VI	AG	03/19/2009	APPROVED	03/19/2009
VT	AG	03/19/2009	APPROVED	03/19/2009
WA	AG	03/19/2009	APPROVED	03/19/2009
WI	AG	03/19/2009	APPROVED	03/19/2009
WV	AG	04/22/2009	APPROVED	04/22/2009
WY	AG	03/19/2009	APPROVED	03/19/2009

Registrations with Previous Employer(s)

From 04/26/2004 To 12/31/2011 MERRILL LYNCH GOVERNMENT SECURITIES INC.(19693)

Reason for Termination Other

Termination Comment REGISTRATION NO LONGER REQUIRED

Regulator	Registration Category	Status Date	Registration Status	Approval Date
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Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GP	12/31/2011	TERMED	05/13/2009
FINRA	GS	12/31/2011	TERMED	05/13/2009
NY	AG	12/31/2011	TERMED	05/13/2009
UT	AG	12/31/2011	TERMED	06/03/2009

From 01/02/2009 To 11/01/2010 BANC OF AMERICA SECURITIES LLC(26091)

Reason for Termination Voluntary

Termination Comment MASS TRANSFER = 167165

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	11/01/2010	T_NOMT	01/02/2009
AL	AG	11/01/2010	T_NOMT	01/02/2009
AR	AG	11/01/2010	T_NOMT	01/02/2009
ARCA	GS	11/01/2010	T_NOMT	01/02/2009
AZ	AG	11/01/2010	T_NOMT	01/02/2009
CA	AG	11/01/2010	T_NOMT	01/02/2009
CBOE	GS	05/03/2010	T_NOU5	01/02/2009
CO	AG	11/01/2010	T_NOMT	01/02/2009
CT	AG	11/01/2010	T_NOMT	01/02/2009
DC	AG	11/01/2010	T_NOMT	01/02/2009
DE	AG	11/01/2010	T_NOMT	01/02/2009
FINRA	GP	11/01/2010	T_NOMT	01/02/2009
FINRA	GS	11/01/2010	T_NOMT	01/02/2009
FL	AG	11/01/2010	T_NOMT	01/02/2009
GA	AG	11/01/2010	T_NOMT	01/02/2009
HI	AG	11/01/2010	T_NOMT	01/02/2009
IA	AG	11/01/2010	T_NOMT	01/02/2009
ID	AG	11/01/2010	T_NOMT	01/02/2009
IL	AG	11/01/2010	T_NOMT	01/02/2009
IN	AG	11/01/2010	T_NOMT	01/16/2009
ISE	GS	11/01/2010	T_NOMT	01/02/2009
KS	AG	11/01/2010	T_NOMT	01/02/2009
KY	AG	11/01/2010	T_NOMT	01/02/2009
LA	AG	11/01/2010	T_NOMT	01/02/2009
MA	AG	11/01/2010	T_NOMT	01/14/2009
MD	AG	11/01/2010	T_NOMT	01/02/2009
ME	AG	11/01/2010	T_NOMT	01/02/2009
MI	AG	11/01/2010	T_NOMT	01/02/2009
MN	AG	11/01/2010	T_NOMT	01/02/2009
MO	AG	11/01/2010	T_NOMT	01/02/2009
MS	AG	11/01/2010	T_NOMT	01/02/2009
MT	AG	11/01/2010	T_NOMT	01/02/2009
ND	AG	11/01/2010	T_NOMT	01/02/2009
NE	AG	11/01/2010	T_NOMT	01/02/2009

Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information**Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NH	AG	11/01/2010	T_NOMT	01/02/2009
NJ	AG	11/01/2010	T_NOMT	01/02/2009
NM	AG	11/01/2010	T_NOMT	01/26/2009
NQX	GP	11/01/2010	T_NOMT	01/02/2009
NQX	GS	11/01/2010	T_NOMT	01/02/2009
NV	AG	11/01/2010	T_NOMT	01/15/2009
NY	AG	11/01/2010	T_NOMT	01/02/2009
NYSE	GP	11/01/2010	T_NOMT	06/26/2010
NYSE	GS	11/01/2010	T_NOMT	01/02/2009
NYSE-MKT	GS	11/01/2010	T_NOMT	01/02/2009
OK	AG	11/01/2010	T_NOMT	01/02/2009
OR	AG	11/01/2010	T_NOMT	01/09/2009
PA	AG	11/01/2010	T_NOMT	01/15/2009
PHLX	GS	11/01/2010	T_NOMT	01/02/2009
PR	AG	11/01/2010	T_NOMT	01/02/2009
RI	AG	11/01/2010	T_NOMT	01/02/2009
SC	AG	11/01/2010	T_NOMT	01/02/2009
SD	AG	11/01/2010	T_NOMT	01/02/2009
TN	AG	11/01/2010	T_NOMT	01/02/2009
TX	AG	11/01/2010	T_NOMT	01/02/2009
UT	AG	11/01/2010	T_NOMT	01/20/2009
VA	AG	11/01/2010	T_NOMT	01/23/2009
VI	AG	11/01/2010	T_NOMT	01/02/2009
VT	AG	11/01/2010	T_NOMT	01/02/2009
WA	AG	11/01/2010	T_NOMT	01/02/2009
WI	AG	11/01/2010	T_NOMT	01/02/2009
WV	AG	11/01/2010	T_NOMT	01/26/2009
WY	AG	11/01/2010	T_NOMT	01/02/2009

From 04/26/2004 To 01/26/2009 MERRILL LYNCH GOVERNMENT SECURITIES INC.(19693)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GP	01/26/2009	TERMED	10/21/2005
FINRA	GS	01/26/2009	TERMED	10/21/2005
NY	AG	01/26/2009	TERMED	10/21/2005

From 04/26/2004 To 01/26/2009 MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	01/26/2009	TERMED	11/27/2007
AL	AG	01/26/2009	TERMED	11/27/2007

Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information**Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AR	AG	01/26/2009	TERMED	11/27/2007
ARCA	GS	01/26/2009	TERMED	05/17/2004
AZ	AG	01/26/2009	TERMED	11/27/2007
CA	AG	01/26/2009	TERMED	11/27/2007
CBOE	GS	01/26/2009	TERMED	05/17/2004
CO	AG	01/26/2009	TERMED	11/27/2007
CT	AG	01/26/2009	TERMED	11/27/2007
DC	AG	01/26/2009	TERMED	11/27/2007
DE	AG	01/26/2009	TERMED	11/27/2007
FINRA	GP	01/26/2009	TERMED	09/09/2004
FINRA	GS	01/26/2009	TERMED	05/17/2004
FL	AG	01/26/2009	TERMED	11/27/2007
GA	AG	01/26/2009	TERMED	11/27/2007
HI	AG	01/26/2009	TERMED	11/27/2007
IA	AG	01/26/2009	TERMED	11/27/2007
ID	AG	01/26/2009	TERMED	11/27/2007
IL	AG	01/26/2009	TERMED	11/27/2007
IN	AG	01/26/2009	TERMED	11/27/2007
ISE	GS	01/26/2009	TERMED	01/25/2008
KS	AG	01/26/2009	TERMED	11/27/2007
KY	AG	01/26/2009	TERMED	11/27/2007
LA	AG	01/26/2009	TERMED	11/27/2007
MA	AG	01/26/2009	TERMED	11/27/2007
MD	AG	01/26/2009	TERMED	11/27/2007
ME	AG	01/26/2009	TERMED	11/27/2007
MI	AG	01/26/2009	TERMED	11/27/2007
MN	AG	01/26/2009	TERMED	11/27/2007
MO	AG	01/26/2009	TERMED	11/27/2007
MS	AG	01/26/2009	TERMED	11/27/2007
MT	AG	01/26/2009	TERMED	11/27/2007
NC	AG	01/26/2009	TERMED	11/27/2007
ND	AG	01/26/2009	TERMED	11/27/2007
NE	AG	01/26/2009	TERMED	11/27/2007
NH	AG	01/26/2009	TERMED	11/27/2007
NJ	AG	01/26/2009	TERMED	11/27/2007
NM	AG	01/26/2009	TERMED	11/27/2007
NQX	GP	01/26/2009	TERMED	07/12/2006
NQX	GS	01/26/2009	TERMED	07/12/2006
NV	AG	01/26/2009	TERMED	11/27/2007
NY	AG	01/26/2009	TERMED	05/17/2004
NYSE	GS	01/26/2009	TERMED	05/17/2004
NYSE-MKT	GS	01/26/2009	TERMED	05/17/2004

Individual 2024831 - MANELSKI, DENIS MARTIN**Administrative Information****Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
OH	AG	01/26/2009	TERMED	11/28/2007
OK	AG	01/26/2009	TERMED	11/27/2007
OR	AG	01/26/2009	TERMED	11/27/2007
PA	AG	01/26/2009	TERMED	11/27/2007
PHLX	GS	01/26/2009	TERMED	05/17/2004
PR	AG	01/26/2009	TERMED	11/27/2007
RI	AG	01/26/2009	TERMED	11/27/2007
SC	AG	01/26/2009	TERMED	11/27/2007
SD	AG	01/26/2009	TERMED	11/27/2007
TN	AG	01/26/2009	TERMED	11/27/2007
TX	AG	01/26/2009	TERMED	11/27/2007
UT	AG	01/26/2009	TERMED	11/27/2007
VA	AG	01/26/2009	TERMED	11/27/2007
VI	AG	01/26/2009	TERMED	11/27/2007
VT	AG	01/26/2009	TERMED	11/27/2007
WA	AG	01/26/2009	TERMED	11/27/2007
WI	AG	01/26/2009	TERMED	11/27/2007
WV	AG	01/26/2009	TERMED	11/27/2007
WY	AG	01/26/2009	TERMED	11/27/2007

From 04/03/2000 To 04/23/2004 DAIWA SECURITIES AMERICA INC.(1576)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ARCA	GS	04/29/2004	TERMED	05/23/2002
FINRA	GP	04/29/2004	T_NOREG	
FINRA	GS	04/29/2004	TERMED	04/05/2000
NJ	AG	04/29/2004	TERMED	10/23/2001
NY	AG	04/29/2004	TERMED	04/26/2000
NYSE	GS	04/29/2004	TERMED	04/05/2000
NYSE-MKT	GS	04/29/2004	TERMED	10/16/2003

From 02/02/1998 To 03/03/2000 AUBREY G. LANSTON & CO., INC.(19695)

Reason for Termination Other

Termination Comment CLOSING OF PRIMARY DEALER

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	03/07/2000	TERMED	02/26/1998

From 02/01/1994 To 11/28/1997 SMITH BARNEY INC.(7059)

Reason for Termination Other

Termination Comment reduction in force

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ARCA	GS	12/23/1997	TERMED	04/20/1994
CBOE	GS	12/23/1997	TERMED	04/20/1994

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

Request Submitted: 10/9/2013 3:29:59 PM

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Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	12/23/1997	TERMED	04/20/1994
NYSE	GS	12/23/1997	TERMED	04/20/1994
NYSE-MKT	GS	12/23/1997	TERMED	04/20/1994
PHLX	GS	12/23/1997	TERMED	04/20/1994

From 12/09/1991 To 02/01/1994 GARVIN GUYBUTLER CORPORATION(19738)

Reason for Termination Voluntary

Termination Comment Voluntary

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	RG	02/09/1994	TERMED	02/21/1992

From 05/01/1990 To 11/01/1990 SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED(7059)

Reason for Termination Other

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	11/15/1990	T_NOREG	

From 09/01/1989 To 06/08/1990 GARVIN GUYBUTLER CORPORATION(19738)

Reason for Termination Voluntary

Termination Comment Voluntary

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	RG	07/23/1990	TERMED	02/26/1990

Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information**Professional Designations**

<<No Professional Designations found for this Individual.>>

Employment History

From	04/2004	To	Present	Name	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
				Location	NEW YORK, NY, US
				Position	MANAGING DIRECTOR
				Investment Related	Yes
From	04/2000	To	04/2004	Name	DAIWA SECURITIES AMERICA INC.
				Location	NEW YORK, NY, USA
				Position	TRADER
				Investment Related	Yes
From	02/1998	To	04/2000	Name	AUBREY G. LANSTON & CO., INC.
				Location	NEW YORK, NY
				Position	NOT PROVIDED
				Investment Related	Yes
From	02/1994	To	11/1997	Name	SMITH BARNEY INC.
				Location	NY, NY
				Position	NOT PROVIDED
				Investment Related	Yes
From	12/1991	To	02/1994	Name	GARVIN GUYBUTLER CORPORATION
				Location	NY, NY
				Position	NOT PROVIDED
				Investment Related	Yes
From	10/1990	To	12/1991	Name	UNEMPLOYED
				Location	NEW YORK, NY, USA
				Position	UNEMPLOYED - UNEMPLOYED
				Investment Related	No
From	05/1990	To	11/1990	Name	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED
				Location	NEW YORK, NY
				Position	NOT PROVIDED
				Investment Related	Yes
From	01/1989	To	11/1990	Name	SMITH BARNEY

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Request Submitted: 10/9/2013 3:29:59 PM

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Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information

Employment History

			Location	NY, NY	
			Position	NOT PROVIDED	
			Investment Related	No	
From	09/1989	To	06/1990	Name	GARVIN GUYBUTLER CORPORATION
			Location	NY, NY	
			Position	NOT PROVIDED	
			Investment Related	Yes	
From	05/1988	To	05/1990	Name	ACURA OF WEST CHESTER
			Location	LARCMONT, NY	
			Position	OTHER - LEASE MANAGER	
			Investment Related	No	
From	06/1988	To	11/1989	Name	ACURA OF WESTCHESTER
			Location	LARCHMONT, NY	
			Position	OTHER - LEASING MANAGER	
			Investment Related	No	
From	09/1985	To	06/1989	Name	COLLEGE
			Location	NEW YORK, NY, USA	
			Position	STUDENT - STUDENT	
			Investment Related	No	

Office of Employment History

From 03/2009 To Present

Name MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
391792	080-3LFB	080-3LFB	Yes	No	03/19/2009		Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							

From 04/2004 To 12/2011

Name MERRILL LYNCH GOVERNMENT SECURITIES INC.(19693)

Independent Contractor No

Office of Employment Address

Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information

Office of Employment History

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
395539		OBP	Yes	No	01/02/2009	12/31/2011	Located At
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES						
		048019	No	No	04/26/2004	01/02/2009	Located At
	Address 1 BRYANT PARK (04) NEW YORK, NY 10036 UNITED STATES						
BD Main			Yes	No	04/26/2004	01/02/2009	Supervised From
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES						

From 01/2009 To 11/2010

Name BANC OF AMERICA SECURITIES LLC(26091)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
90398	38	38	Yes	No	07/10/2009	11/01/2010	Located At
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES						
391680	38-01	38-01	Yes	No	02/20/2009	07/10/2009	Located At
	Address 4 WORLD FINANCIAL CENTER NEW YORK, NY 10080 UNITED STATES						
BD Main			Yes	No	01/02/2009	02/20/2009	Located At
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES						

From 04/2004 To 01/2009

Name MERRILL LYNCH GOVERNMENT SECURITIES INC.(19693)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
284919		048-001	Yes	No	06/26/2006	01/26/2009	Located At
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES						
BD Main			Yes	No	04/26/2004	01/26/2009	Located At
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES						

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Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information

Office of Employment History

From 04/2004 To 01/2009

Name MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
BD Main	BD MAIN		Yes	No	04/26/2004	01/26/2009	Located At
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES 048019 No No 04/26/2004 01/19/2006 Located At						
	Address 4 WORLD FINANCIAL CENTER, FLOOR 7 NEW YORK, NY 10080 US						

From 10/2005 To 10/2005

Name MERRILL LYNCH GOVERNMENT SECURITIES INC. ("MLGSI")(19693)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	10/07/2005	10/21/2005	
	Address 4 WORLD FINANCIAL CENTER NEW YORK, NY 10281 USA						

From 04/2000 To 04/2004

Name DAIWA SECURITIES AMERICA INC.(1576)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
		1404	No	No	04/03/2000	04/23/2004	Located At
	Address FINANCIAL SQUARE, 32 OLD SLIP NEW YORK, NY 10005-3538 USA						

From 02/1998 To 03/2000

Name AUBREY G. LANSTON & CO., INC.(19695)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office

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Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information

Office of Employment History

Office of Employment Address

No No 02/02/1998 03/03/2000 Located At

Address ONE CHASE MANHATTAN PLAZA
NEW YORK, NY 10005-1498

From 02/1994 To 11/1997

Name SMITH BARNEY INC.(7059)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
		75229	No	No	02/01/1994	11/28/1997	Located At

Address 1345 AVE AMERICAS
NY, NY 10105

From 12/1991 To 02/1994

Name GARVIN GUYBUTLER CORPORATION(19738)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	12/09/1991	02/01/1994	Located At

Address 120 BROADWAY
NY, NY 10271

From 05/1990 To 11/1990

Name SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED(7059)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
		229	No	No	05/01/1990	11/01/1990	Located At

Address 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

From 09/1989 To 06/1990

Name GARVIN GUYBUTLER CORPORATION(19738)

Independent Contractor No

Office of Employment Address

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Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information

Office of Employment History

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	09/01/1989	06/08/1990	Located At
Address 120 BROADWAY NY, NY 10271							

Other Business

<<No Other Business found for this Individual.>>

Exam Appointments

<<No Exam Appointments found for this Individual.>>

Exam History

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S3	19944085	Window Expired	01/08/2010				09/09/2009-01/07/2010
S3	19944084	Window Expired	07/13/2009				03/13/2009-07/11/2009
S3	19944083	Window Expired	11/24/2008				07/24/2008-11/21/2008
S7	19944090	Official Result	04/19/1994	04/19/1994	Passed	88	-
S7	19944089	Withdraw	02/09/1994				-
S7	19944088	Withdraw	11/15/1990				-
S24	19944082	Official Result	09/09/2004	09/08/2004	Passed	76	05/18/2004-09/15/2004
S24	19944081	Window Expired	01/26/2001				09/28/2000-01/26/2001
S63	19944087	Official Result	04/26/2000	04/25/2000	Passed	88	04/06/2000-08/04/2000
S63	19944087	Official Result	04/17/2000	04/14/2000	No Show		04/06/2000-08/04/2000

CE Regulatory Element Status

Current CE Status SATISFIED

CE Base Date 02/26/1990

CE Appointments

<<No CE Appointments found for this Individual.>>

Current CE

<<No Current CE found for this Individual.>>

Next CE

Window Dates	Requirement Type	Session
02/26/2016-06/24/2016	Anniversary	201

CE Directed Sequence History

<<No CE Directed Sequence History found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Dates found for this Individual.>>

Individual 2024831 - MANELSKI, DENIS MARTIN**Administrative Information****Previous CE Requirement Status**

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201	SATISFIED	06/18/2013	02/26/2013-06/25/2013	06/18/2013 - CMPLT
Anniversary	201	REQUIRED	02/26/2013	02/26/2013-06/25/2013	
Anniversary	201	SATISFIED	04/22/2010	02/26/2010-06/25/2010	04/22/2010 - CMPLT
Anniversary	201	REQUIRED	02/26/2010	02/26/2010-06/25/2010	
Anniversary	201	SATISFIED	05/21/2007	02/26/2007-06/25/2007	05/21/2007 - CMPLT
Anniversary	201	REQUIRED	02/26/2007	02/26/2007-06/25/2007	
Anniversary	101	SATISFIED	03/31/2004	02/26/2004-06/24/2004	03/31/2004 - CMPLT
Anniversary	101	REQUIRED	02/26/2004	02/26/2004-06/24/2004	
Anniversary	101	SATISFIED	05/07/2001	02/26/2001-06/25/2001	05/07/2001 - CMPLT
Anniversary	101	REQUIRED	02/27/2001	02/26/2001-06/25/2001	
Anniversary	101	SATISFIED	02/26/1990	02/26/1998-06/25/1998	
Anniversary	101			02/26/1995-06/25/1995	
Anniversary	101			02/26/1992-06/24/1992	

Filing History

Filing Date	Form Type	Filing type	Source
05/14/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/18/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
12/21/2011	U5	Full	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
01/11/2011	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
11/01/2010	MT	Mass Transfer	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	BANC OF AMERICA SECURITIES LLC (26091)
06/26/2010	U4	Admin	NYSE
06/26/2010	U4	Admin	NYSE
09/08/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
07/30/2009	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
07/10/2009	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
05/18/2009	U4	Upload - New U4 Questions	BANC OF AMERICA SECURITIES LLC (26091)
05/13/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
03/19/2009	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
03/12/2009	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
02/20/2009	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
02/12/2009	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
01/26/2009	U5	Full	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)

Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information**Filing History**

Filing Date	Form Type	Filing type	Source
01/12/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
01/06/2009	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
01/02/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
12/24/2008	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
07/23/2008	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
03/05/2008	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
01/25/2008	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/27/2007	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
07/29/2006	U4	Conversion	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
06/26/2006	BR	Initial	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
01/19/2006	U4	Individual-Branch Link	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
10/21/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
10/07/2005	NRF	Initial	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
09/06/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/22/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/09/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/08/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
05/17/2004	U4	Relicense All	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/29/2004	U5	Full	DAIWA CAPITAL MARKETS AMERICA INC. (1576)
10/16/2003	U4	Amendment	DAIWA CAPITAL MARKETS AMERICA INC. (1576)
01/22/2003	U4	Amendment	DAIWA CAPITAL MARKETS AMERICA INC. (1576)
05/23/2002	U4	Amendment	DAIWA CAPITAL MARKETS AMERICA INC. (1576)
10/23/2001	U4	Amendment	DAIWA CAPITAL MARKETS AMERICA INC. (1576)
09/27/2000	U4	Amendment	DAIWA CAPITAL MARKETS AMERICA INC. (1576)
04/05/2000	U4	Relicense All	DAIWA CAPITAL MARKETS AMERICA INC. (1576)
03/07/2000	U5	Full	AUBREY G. LANSTON & CO., INC. (19695)
07/05/1999	U4	Conversion	AUBREY G. LANSTON & CO., INC. (19695)

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Individual 2024831 - MANELSKI, DENIS MARTIN

Administrative Information

Filing History

Filing Date	Form Type	Filing type	Source
07/05/1999	U5	Conversion	CITIGROUP GLOBAL MARKETS INC. (7059)
07/05/1999	U4	Conversion	CITIGROUP GLOBAL MARKETS INC. (7059)
07/05/1999	U5	Conversion	GARBAN CAPITAL MARKETS LLC (19738)
07/05/1999	U4	Conversion	GARBAN CAPITAL MARKETS LLC (19738)
07/05/1999	U5	Conversion	CITIGROUP GLOBAL MARKETS INC. (7059)
07/05/1999	U4	Conversion	CITIGROUP GLOBAL MARKETS INC. (7059)
07/05/1999	U5	Conversion	GARBAN CAPITAL MARKETS LLC (19738)
07/05/1999	U4	Conversion	GARBAN CAPITAL MARKETS LLC (19738)

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Individual 2024831 - MANELSKI, DENIS MARTIN

Reportable Events

<<No Reportable Events found for this Individual.>>

Regulator Archive and Z Records

<<No Regulator Archive and Z Records found for this Individual.>>

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Notice

CRD® or IARD(TM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information.

FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA).

FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators.

Reportable Information: Information that is required to be reported on the current version of the uniform registration forms.

Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

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Details for Request#: 12436647
Report: Snapshot - Individual
Requested By: TLW

<u>Parameter Name</u>	<u>Value</u>
Request by CRD# or SSN:	CRD#
Individual CRD# or SSN	2786362
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business?	Yes
Include Exam Information?	Yes
Include Continuing Education Information? (CRD Only)	Yes
Include Filing History? (CRD Only)	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information? (CRD Only)	Yes
Is this a Pre-Registration Report Request? (CRD Only)	No

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Individual 2786362 - MURPHY, PAUL WILLIAM

Administrative Information

Composite Information

Full Legal Name MURPHY, PAUL WILLIAM

State of Residence NJ

Active Employments

Current Employer MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Firm Main Address ONE BRYANT PARK
NEW YORK
NY, UNITED STATES
10036

Firm Mailing Address 222 BROADWAY
NY3-222-12-05
NEW YORK
NY, UNITED STATES
10038

Business Telephone# 800-637-7455

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
391792	080-3LFB	080-3LFB	Yes	No	07/10/2009		Located At
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES						
391792	080-3LFB	080-3LFB	Yes	No	07/10/2009	07/10/2009	Located At
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES						
391784	IB-OBP01	IB-OBP01	Yes	No	07/10/2009	07/10/2009	Located At
	Address ONE BRYANT PARK, INVESTMENT BANKING NEW YORK, NY 10036 UNITED STATES						
BD Main	BD MAIN		Yes	No	04/15/1996	07/10/2009	Located At
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES						

Reportable Disclosures? The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutory Disqualification? BLNK

Registered With Multiple Firms? No

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Individual 2786362 - MURPHY, PAUL WILLIAM

Administrative Information

Material Difference in Disclosure? No

Personal Information

Individual CRD# 2786362

Other Names Known By MURPHY, PAUL W

Year of Birth 1972

Registrations with Current Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	12/31/2012	TERMED	04/05/2012
AL	AG	12/31/2012	TERMED	04/05/2012
AR	AG	12/31/2012	TERMED	04/05/2012
ARCA	GP	02/10/2009	APPROVED	02/10/2009
ARCA	GS	02/10/2009	APPROVED	02/10/2009
AZ	AG	12/31/2012	TERMED	04/05/2012
BOX	GP	05/14/2012	APPROVED	05/14/2012
BOX	GS	05/14/2012	APPROVED	05/14/2012
BX	GP	02/10/2009	APPROVED	02/10/2009
BX	GS	02/10/2009	APPROVED	02/10/2009
CA	AG	12/31/2012	TERMED	04/05/2012
CBOE	GS	02/27/2009	APPROVED	02/10/2009
CHX	GP	02/10/2009	APPROVED	02/10/2009
CHX	GS	02/10/2009	APPROVED	02/10/2009
CO	AG	12/31/2012	TERMED	04/05/2012
CT	AG	12/31/2012	TERMED	04/05/2012
DC	AG	12/31/2012	TERMED	04/05/2012
DE	AG	12/31/2012	TERMED	04/05/2012
FINRA	RG	11/01/2010	APPROVED	11/01/2010
FINRA	GP	02/27/2009	APPROVED	02/10/2009
FINRA	GS	02/27/2009	APPROVED	02/10/2009
FL	AG	12/31/2012	TERMED	04/05/2012
GA	AG	12/31/2012	TERMED	04/05/2012
HI	AG	12/31/2012	TERMED	04/05/2012
IA	AG	12/31/2012	TERMED	04/05/2012
ID	AG	12/31/2012	TERMED	04/05/2012
IL	AG	12/31/2012	TERMED	04/05/2012
IN	AG	12/31/2012	TERMED	04/05/2012
ISE	GP	04/18/2012	APPROVED	04/18/2012
ISE	GS	02/10/2009	APPROVED	02/10/2009
KS	AG	12/31/2012	TERMED	04/05/2012
KY	AG	12/31/2012	TERMED	04/05/2012
LA	AG	12/31/2012	TERMED	04/05/2012

CRD® or IARD(TM) System Report -- See notice regarding CRD Data on cover page.

Individual 2786362 - MURPHY, PAUL WILLIAM**Administrative Information****Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
MA	AG	12/31/2012	TERMED	04/05/2012
MD	AG	12/31/2012	TERMED	04/05/2012
ME	AG	12/31/2012	TERMED	04/05/2012
MI	AG	12/31/2012	TERMED	04/05/2012
MN	AG	12/31/2012	TERMED	04/05/2012
MO	AG	12/31/2012	TERMED	04/05/2012
MS	AG	12/31/2012	TERMED	04/05/2012
MT	AG	12/31/2012	TERMED	04/05/2012
NC	AG	12/31/2012	TERMED	04/10/2012
ND	AG	12/31/2012	TERMED	04/05/2012
NE	AG	12/31/2012	TERMED	04/05/2012
NH	AG	12/31/2012	TERMED	04/05/2012
NJ	AG	12/31/2012	TERMED	04/05/2012
NM	AG	12/31/2012	TERMED	04/05/2012
NQX	GP	02/27/2009	APPROVED	02/10/2009
NQX	GS	02/27/2009	APPROVED	02/10/2009
NSX	GP	02/10/2009	APPROVED	02/10/2009
NSX	GS	02/10/2009	APPROVED	02/10/2009
NV	AG	12/31/2012	TERMED	04/05/2012
NY	AG	02/10/2009	APPROVED	02/10/2009
NYSE	SM	11/01/2010	APPROVED	11/01/2010
NYSE	GP	06/26/2010	APPROVED	06/26/2010
NYSE	GS	02/27/2009	APPROVED	02/10/2009
NYSE-MKT	SM	11/01/2010	APPROVED	11/01/2010
NYSE-MKT	GP	02/27/2009	APPROVED	02/10/2009
NYSE-MKT	GS	02/27/2009	APPROVED	02/10/2009
OH	AG	12/31/2012	TERMED	04/05/2012
OK	AG	12/31/2012	TERMED	04/05/2012
OR	AG	12/31/2012	TERMED	04/05/2012
PA	AG	12/31/2012	TERMED	04/05/2012
PHLX	GP	04/18/2012	APPROVED	04/18/2012
PHLX	GS	02/27/2009	APPROVED	02/10/2009
PR	AG	12/31/2012	TERMED	04/05/2012
RI	AG	12/31/2012	TERMED	04/05/2012
SC	AG	12/31/2012	TERMED	04/05/2012
SD	AG	12/31/2012	TERMED	04/05/2012
TN	AG	12/31/2012	TERMED	04/05/2012
TX	AG	12/31/2012	TERMED	04/05/2012
UT	AG	12/31/2012	TERMED	04/05/2012
VA	AG	12/31/2012	TERMED	04/05/2012
VI	AG	12/31/2012	TERMED	04/05/2012
VT	AG	12/31/2012	TERMED	04/05/2012

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

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Individual 2786362 - MURPHY, PAUL WILLIAM

Administrative Information

Registrations with Current Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
WA	AG	12/31/2012	TERMED	04/05/2012
WI	AG	12/31/2012	TERMED	04/05/2012
WV	AG	12/31/2012	TERMED	04/05/2012
WY	AG	12/31/2012	TERMED	04/05/2012

Registrations with Previous Employer(s)

From 06/26/2006 To 12/31/2011 MERRILL LYNCH GOVERNMENT SECURITIES INC.(19693)

Reason for Termination Other

Termination Comment REGISTRATION NO LONGER REQUIRED

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GP	12/31/2011	TERMED	02/10/2009
FINRA	GS	12/31/2011	TERMED	02/10/2009
NY	AG	12/31/2011	TERMED	02/10/2009
UT	AG	12/31/2011	TERMED	03/02/2009

From 02/07/2009 To 11/01/2010 BANC OF AMERICA SECURITIES LLC(26091)

Reason for Termination Voluntary

Termination Comment MASS TRANSFER = 167165

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ARCA	GS	11/01/2010	T_NOMT	02/09/2009
CBOE	GS	05/03/2010	T_NOU5	02/09/2009
FINRA	GP	11/01/2010	T_NOMT	02/09/2009
FINRA	GS	11/01/2010	T_NOMT	02/09/2009
FINRA	RG	11/01/2010	MASS_TRNSF	02/09/2009
ISE	GS	11/01/2010	T_NOMT	02/09/2009
NQX	GP	11/01/2010	T_NOMT	02/09/2009
NQX	GS	11/01/2010	T_NOMT	02/09/2009
NY	AG	11/01/2010	T_NOMT	02/09/2009
NYSE	GP	11/01/2010	T_NOMT	06/26/2010
NYSE	GS	11/01/2010	T_NOMT	02/09/2009
NYSE	SM	11/01/2010	MASS_TRNSF	02/09/2009
NYSE-MKT	GS	11/01/2010	T_NOMT	02/09/2009
NYSE-MKT	SM	11/01/2010	MASS_TRNSF	06/26/2010
PHLX	GS	11/01/2010	T_NOMT	02/09/2009

From 04/15/1996 To 02/09/2009 MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ARCA	GS	02/09/2009	TERMED	12/06/1996
CBOE	GS	02/09/2009	TERMED	12/06/1996
FINRA	GP	02/09/2009	TERMED	08/17/2004
FINRA	GS	02/09/2009	TERMED	12/06/1996
FINRA	RG	02/09/2009	TERMED	08/12/1996

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Individual 2786362 - MURPHY, PAUL WILLIAM

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ISE	GS	02/09/2009	TERMED	01/26/2008
NQX	GP	02/09/2009	TERMED	07/12/2006
NQX	GS	02/09/2009	TERMED	07/12/2006
NY	AG	02/09/2009	TERMED	01/28/1997
NYSE	GS	02/09/2009	TERMED	12/06/1996
NYSE	SM	02/09/2009	TERMED	07/31/2007
NYSE-MKT	GS	02/09/2009	TERMED	12/06/1996
PHLX	GS	02/09/2009	TERMED	12/06/1996

From 04/15/1996 To 02/09/2009 MERRILL LYNCH GOVERNMENT SECURITIES INC.(19693)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GP	02/09/2009	TERMED	07/18/2007
FINRA	GS	02/09/2009	TERMED	12/06/1996
FINRA	RG	02/09/2009	TERMED	08/12/1996
NY	AG	02/09/2009	TERMED	01/28/1997

Individual 2786362 - MURPHY, PAUL WILLIAM

Administrative Information

Professional Designations

<<No Professional Designations found for this Individual.>>

Employment History

From	11/2010	To	Present	Name	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
				Location	NEW YORK, NY
				Position	Mass Transfer
				Investment Related	Yes
From	04/1996	To	Present	Name	MERRILL LYNCH GOVERNMENT SECURITIES INC. ("MLGSI")
				Location	NEW YORK, NY
				Position	NOT PROVIDED
				Investment Related	Yes
From	04/1996	To	Present	Name	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
				Location	NEW YORK, NY
				Position	NOT PROVIDED
				Investment Related	Yes
From	04/1996	To	Present	Name	MERRILL LYNCH GOVERNMENT SECURITIES INC.
				Location	NEW YORK, NY
				Position	OTHER - JUNIOR TRADER
				Investment Related	No
From	07/1994	To	04/1996	Name	CITICORP SECURITIES INC.
				Location	NEW YORK, NY
				Position	OTHER - ANALYST
				Investment Related	No
From	09/1990	To	06/1994	Name	PRINCETON
				Location	PRINCETON, NJ
				Position	STUDENT - Student
				Investment Related	No
From	09/1986	To	06/1990	Name	PENFIELD HIGH SCHOOL
				Location	PENFIELD, NJ
				Position	STUDENT - Student
				Investment Related	No

Individual 2786362 - MURPHY, PAUL WILLIAM

Administrative Information

Office of Employment History

From 04/1996 To Present

Name MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
391792	080-3LFB	080-3LFB	Yes	No	07/10/2009		Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							
391792	080-3LFB	080-3LFB	Yes	No	07/10/2009	07/10/2009	Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							
391784	IB-OBP01	IB-OBP01	Yes	No	07/10/2009	07/10/2009	Located At
Address ONE BRYANT PARK, INVESTMENT BANKING NEW YORK, NY 10036 UNITED STATES							
BD Main	BD MAIN		Yes	No	04/15/1996	07/10/2009	Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							

From 06/2006 To 12/2011

Name MERRILL LYNCH GOVERNMENT SECURITIES INC.(19693)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
395539		OBP	Yes	No	07/10/2009	12/31/2011	Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							
395539		OBP	Yes	No	02/09/2009	07/10/2009	Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							
284919		048-001	Yes	No	06/26/2006	02/09/2009	Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							

From 02/2009 To 11/2010

Name BANC OF AMERICA SECURITIES LLC(26091)

Independent Contractor No

Office of Employment Address

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Individual 2786362 - MURPHY, PAUL WILLIAM

Administrative Information

Office of Employment History

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
90398	38	38	Yes	No	02/07/2009	11/01/2010	Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							

From 04/1996 To 02/2009

Name MERRILL LYNCH GOVERNMENT SECURITIES INC.(19693)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
284919		048-001	Yes	No	06/26/2006	02/09/2009	Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							
BD Main			Yes	No	04/15/1996	02/09/2009	Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							

From 04/1996 To 02/2009

Name MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
BD Main	BD MAIN		Yes	No	04/15/1996	02/09/2009	Located At
Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES							
		048-008	No	No	04/15/1996	01/19/2006	Located At
Address WORLD FINANCIAL CENTER, 4 WORLD FINANCIAL CE, 7TH FL NEW YORK, NY 10080 US							

Other Business

OCT SOCIETY LLC

1.FOR PROFIT OR NOT FOR PROFIT: FOR PROFIT, BUT THERE IS A CLAUSE THAT DOESN'T NOT ALLOW ANYONE ANY DISTRIBUTION OF MORE THAN 50% OF INITIAL COMMITMENT

2.INVESTMENT RELATED: (YES OR NO) NO

THE PURPOSE FOR WHICH THIS LIMITED LIABILITY COMPANY IS ORGANIZED IS REAL ESTATE INVESTMENT AND OPERATION OF A HUNTING CLUB.

3.COMPENSATION RECEIVED? NO

4.ADDRESS OF BUSINESS: 48 WALL STREET - 30TH FLOOR, NEW YORK, NY.

CRD® or IARD(TM) System Report -- See notice regarding CRD Data on cover page.

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Individual 2786362 - MURPHY, PAUL WILLIAM

Administrative Information

5.NATURE OF BUSINESS: THE PURPOSE FOR WHICH THIS LIMITED LIABILITY COMPANY IS ORGANIZED IS REAL ESTATE INVESTMENT AND OPERATION OF A HUNTING CLUB

6.YOUR POSITION, TITLE, ASSOCIATION: MEMBER

7.START DATE OF RELATIONSHIP: SUMMER 2011

8.NUMBER OF HOURS DEVOTED PER MONTH: 1

9.NUMBER OF HOURS DEVOTED DURING SECURITIES TRADING HOURS: 0

10.YOUR DUTIES: CURRENTLY MEMBER WHICH ALLOWS ME USE OF THE PROPERTY FOR HUNTING AND CAMPING PURPOSES.

Exam Appointments

<<No Exam Appointments found for this Individual.>>

Exam History

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S7	22053593	Official Result	12/05/1996	12/05/1996	Passed	84	-
S24	22053588	Official Result	08/17/2004	08/16/2004	Passed	82	04/22/2004-08/20/2004
S63	22053592	Window Expired	04/29/1997			0	-
S63	22053591	Official Result	01/24/1997	01/24/1997	Passed	82	-
S63	22053590	Window Expired	01/03/1997			0	-
S63	22053589	Window Expired	11/08/1996			0	-

CE Regulatory Element Status

Current CE Status SATISFIED

CE Base Date 08/12/1996

CE Appointments

<<No CE Appointments found for this Individual.>>

Current CE

<<No Current CE found for this Individual.>>

Next CE

Window Dates	Requirement Type	Session
08/12/2016-12/09/2016	Anniversary	201

CE Directed Sequence History

<<No CE Directed Sequence History found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Dates found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201			08/12/2013-12/09/2013	
Anniversary	201	SATISFIED	08/16/2013	08/12/2013-12/09/2013	08/16/2013 - CMPLT
Anniversary	201	REQUIRED	08/12/2013	08/12/2013-12/09/2013	
Anniversary	201	SATISFIED	11/22/2010	08/12/2010-12/09/2010	11/22/2010 - CMPLT
Anniversary	201	REQUIRED	08/12/2010	08/12/2010-12/09/2010	
Anniversary	201	SATISFIED	10/29/2007	08/12/2007-12/09/2007	10/29/2007 - CMPLT

Individual 2786362 - MURPHY, PAUL WILLIAM

Administrative Information

Previous CE Requirement Status

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201	REQUIRED	08/13/2007	08/12/2007-12/09/2007	
Anniversary	101	SATISFIED	11/19/2004	08/12/2004-12/09/2004	11/19/2004 - CMPLT
Anniversary	101	REQUIRED	08/12/2004	08/12/2004-12/09/2004	
Anniversary	101	SATISFIED	11/19/2001	08/12/2001-12/09/2001	11/19/2001 - CMPLT
Anniversary	101	REQUIRED	08/12/2001	08/12/2001-12/09/2001	
Anniversary	101	SATISFIED	12/17/1998	08/12/1998-01/08/1999	
Anniversary	101		12/17/1998	08/12/1998-01/08/1999	12/17/1998 - CMPLT
Anniversary	101		12/03/1998	08/12/1998-01/08/1999	

Filing History

Filing Date	Form Type	Filing type	Source
12/19/2012	U5	Partial	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
05/14/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/18/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/05/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
12/21/2011	U5	Full	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
09/09/2011	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
01/04/2011	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
11/01/2010	MT	Mass Transfer	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	BANC OF AMERICA SECURITIES LLC (26091)
06/26/2010	U4	Admin	NYSE
06/26/2010	U4	Admin	NYSE
06/26/2010	U4	Admin	NYSE-MKT
07/31/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
07/31/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
07/31/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
07/31/2009	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
07/10/2009	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
05/18/2009	U4	Upload - New U4 Questions	BANC OF AMERICA SECURITIES LLC (26091)
03/02/2009	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)

Individual 2786362 - MURPHY, PAUL WILLIAM

Administrative Information**Filing History**

Filing Date	Form Type	Filing type	Source
02/27/2009	U4	Amendment	FINRA
02/27/2009	U4	Amendment	FINRA
02/27/2009	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
02/27/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
02/10/2009	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
02/10/2009	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
02/09/2009	U5	Full	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
02/09/2009	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
01/26/2008	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
07/31/2007	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
07/18/2007	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
07/29/2006	U4	Conversion	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
06/26/2006	BR	Initial	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
01/19/2006	U4	Individual-Branch Link	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/22/2005	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
08/22/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/19/2005	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
08/09/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/09/2005	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
08/08/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/08/2005	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
07/05/2005	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/21/2004	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/10/2003	U4	Amendment	MERRILL LYNCH GOVERNMENT SECURITIES INC. (19693)
07/05/1999	U4	Conversion	MERRILL LYNCH, PIERCE, FENNER & SMITH

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Individual 2786362 - MURPHY, PAUL WILLIAM

Filing History

Filing Date	Form Type	Filing type	Source
			INCORPORATED (7691)

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Individual 2786362 - MURPHY, PAUL WILLIAM

Reportable Events

<<No Reportable Events found for this Individual.>>

Regulator Archive and Z Records

<<No Regulator Archive and Z Records found for this Individual.>>

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Notice

CRD® or IARD(TM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information.

FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA).

FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators.

Reportable Information: Information that is required to be reported on the current version of the uniform registration forms.

Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

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Details for Request#: 12436648
Report: Snapshot - Individual
Requested By: TLW

<u>Parameter Name</u>	<u>Value</u>
Request by CRD# or SSN:	CRD#
Individual CRD# or SSN	2337119
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business?	Yes
Include Exam Information?	Yes
Include Continuing Education Information? (CRD Only)	Yes
Include Filing History? (CRD Only)	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information? (CRD Only)	Yes
Is this a Pre-Registration Report Request? (CRD Only)	No

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Individual 2337119 - SEITZ, RICHARD STEVEN

Administrative Information

Composite Information

Full Legal Name SEITZ, RICHARD STEVEN

State of Residence NC

Active Employments

Current Employer MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Firm Main Address ONE BRYANT PARK
NEW YORK
NY, UNITED STATES
10036

Firm Mailing Address 222 BROADWAY
NY3-222-12-05
NEW YORK
NY, UNITED STATES
10038

Business Telephone# 800-637-7455

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
457029	GM-CLT02	GM-CLT02	Yes	No	11/01/2010		Located At
	Address 214 NORTH TRYON ST CHARLOTTE, NC 28255 UNITED STATES						
457009	GM-CLT01	GM-CLT01	Yes	No	11/01/2010		Located At
	Address 100 N. TRYON ST CHARLOTTE, NC 28255 UNITED STATES						

Reportable Disclosures? The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5).
Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutory Disqualification? BLNK

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information

Individual CRD# 2337119

Other Names Known By

CRD® or IARD(TM) System Report -- See notice regarding CRD Data on cover page.

Individual 2337119 - SEITZ, RICHARD STEVEN

Administrative Information

SEITZ, DICK

Year of Birth 1961

Registrations with Current Employer(s)

From	To	Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)		
Regulator	Registration Category	Status Date	Registration Status	Approval Date	
AK	AG	11/01/2010	APPROVED	11/01/2010	
AL	AG	11/01/2010	APPROVED	11/01/2010	
AR	AG	11/01/2010	APPROVED	11/01/2010	
ARCA	GP	04/18/2012	APPROVED	04/18/2012	
ARCA	GS	11/01/2010	APPROVED	11/01/2010	
AZ	AG	11/01/2010	APPROVED	11/01/2010	
BOX	GP	05/14/2012	APPROVED	05/14/2012	
BOX	GS	05/14/2012	APPROVED	05/14/2012	
BX	GP	08/18/2011	APPROVED	08/18/2011	
BX	GS	11/01/2010	APPROVED	11/01/2010	
CA	AG	11/01/2010	APPROVED	11/01/2010	
CBOE	GS	11/03/2010	APPROVED	11/03/2010	
CHX	GS	11/01/2010	APPROVED	11/01/2010	
CHX	MP	11/01/2010	APPROVED	11/01/2010	
CO	AG	11/01/2010	APPROVED	11/01/2010	
CT	AG	11/01/2010	APPROVED	11/01/2010	
DC	AG	11/01/2010	APPROVED	11/01/2010	
DE	AG	11/01/2010	APPROVED	11/01/2010	
FINRA	OS	11/17/2011	APPROVED	11/17/2011	
FINRA	GP	11/01/2010	APPROVED	11/01/2010	
FINRA	GS	11/01/2010	APPROVED	11/01/2010	
FINRA	MP	11/01/2010	APPROVED	11/01/2010	
FINRA	PG	11/01/2010	APPROVED	11/01/2010	
FINRA	RG	11/01/2010	APPROVED	11/01/2010	
FL	AG	11/01/2010	APPROVED	11/01/2010	
GA	AG	11/01/2010	APPROVED	11/01/2010	
HI	AG	11/01/2010	APPROVED	11/01/2010	
IA	AG	11/01/2010	APPROVED	11/01/2010	
ID	AG	11/01/2010	APPROVED	11/01/2010	
IL	AG	11/01/2010	APPROVED	11/01/2010	
IN	AG	11/01/2010	APPROVED	11/01/2010	
ISE	GP	04/18/2012	APPROVED	04/18/2012	
ISE	GS	04/18/2012	APPROVED	04/18/2012	
KS	AG	11/01/2010	APPROVED	11/01/2010	
KY	AG	11/01/2010	APPROVED	11/01/2010	
LA	AG	11/01/2010	APPROVED	11/01/2010	
MA	AG	11/01/2010	APPROVED	11/01/2010	
MD	AG	11/01/2010	APPROVED	11/01/2010	

Individual 2337119 - SEITZ, RICHARD STEVEN**Administrative Information****Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ME	AG	11/01/2010	APPROVED	11/01/2010
MI	AG	11/01/2010	APPROVED	11/01/2010
MN	AG	11/01/2010	APPROVED	11/01/2010
MO	AG	11/01/2010	APPROVED	11/01/2010
MS	AG	11/01/2010	APPROVED	11/01/2010
MT	AG	11/01/2010	APPROVED	11/01/2010
NC	AG	11/01/2010	APPROVED	11/01/2010
ND	AG	11/01/2010	APPROVED	11/01/2010
NE	AG	11/01/2010	APPROVED	11/01/2010
NH	AG	11/01/2010	APPROVED	11/01/2010
NJ	AG	11/01/2010	APPROVED	11/01/2010
NM	AG	11/01/2010	APPROVED	11/01/2010
NQX	GP	11/01/2010	APPROVED	11/01/2010
NQX	GS	11/01/2010	APPROVED	11/01/2010
NV	AG	11/01/2010	APPROVED	11/01/2010
NY	AG	11/01/2010	APPROVED	11/01/2010
NYSE	GP	11/01/2010	APPROVED	11/01/2010
NYSE	GS	11/01/2010	APPROVED	11/01/2010
NYSE	MP	11/01/2010	APPROVED	11/01/2010
NYSE-MKT	GP	04/18/2012	APPROVED	04/18/2012
NYSE-MKT	MP	03/13/2012	APPROVED	03/13/2012
NYSE-MKT	GS	11/01/2010	APPROVED	11/01/2010
OH	AG	11/01/2010	APPROVED	11/01/2010
OK	AG	11/01/2010	APPROVED	11/01/2010
OR	AG	11/01/2010	APPROVED	11/01/2010
PA	AG	11/01/2010	APPROVED	11/01/2010
PHLX	GP	04/18/2012	APPROVED	04/18/2012
PHLX	GS	11/01/2010	APPROVED	11/01/2010
PR	AG	11/01/2010	APPROVED	11/01/2010
RI	AG	11/01/2010	APPROVED	11/01/2010
SC	AG	11/01/2010	APPROVED	11/01/2010
SD	AG	11/01/2010	APPROVED	11/01/2010
TN	AG	11/01/2010	APPROVED	11/01/2010
TX	AG	11/01/2010	APPROVED	11/01/2010
UT	AG	11/01/2010	APPROVED	11/01/2010
VA	AG	11/01/2010	APPROVED	11/01/2010
VI	AG	11/01/2010	APPROVED	11/01/2010
VT	AG	11/01/2010	APPROVED	11/01/2010
WA	AG	11/01/2010	APPROVED	11/01/2010
WI	AG	11/01/2010	APPROVED	11/01/2010
WV	AG	11/01/2010	APPROVED	11/01/2010
WY	AG	11/01/2010	APPROVED	11/01/2010

Individual 2337119 - SEITZ, RICHARD STEVEN**Administrative Information****Registrations with Previous Employer(s)**

From 05/10/1995 To 11/01/2010 BANC OF AMERICA SECURITIES LLC(26091)

Reason for Termination Voluntary

Termination Comment MASS TRANSFER = 167165

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	11/01/2010	MASS_TRNSF	05/16/1995
AL	AG	11/01/2010	MASS_TRNSF	05/16/1995
AR	AG	11/01/2010	MASS_TRNSF	05/16/1995
ARCA	GS	11/01/2010	MASS_TRNSF	11/04/2002
AZ	AG	11/01/2010	MASS_TRNSF	05/16/1995
BX	GS	11/01/2010	MASS_TRNSF	11/04/2002
CA	AG	11/01/2010	MASS_TRNSF	05/16/1995
CHX	GS	11/01/2010	MASS_TRNSF	11/04/2002
CHX	MP	11/01/2010	MASS_TRNSF	11/04/2002
CO	AG	11/01/2010	MASS_TRNSF	05/16/1995
CT	AG	11/01/2010	MASS_TRNSF	05/16/1995
DC	AG	11/01/2010	MASS_TRNSF	05/23/1995
DE	AG	11/01/2010	MASS_TRNSF	05/16/1995
FINRA	GP	11/01/2010	MASS_TRNSF	11/02/2001
FINRA	GS	11/01/2010	MASS_TRNSF	05/16/1995
FINRA	MP	11/01/2010	MASS_TRNSF	05/16/1995
FINRA	PG	11/01/2010	MASS_TRNSF	05/16/1995
FINRA	RG	11/01/2010	MASS_TRNSF	05/16/1995
FL	AG	11/01/2010	MASS_TRNSF	05/18/1995
GA	AG	11/01/2010	MASS_TRNSF	05/16/1995
HI	AG	11/01/2010	MASS_TRNSF	05/16/1995
IA	AG	11/01/2010	MASS_TRNSF	05/16/1995
ID	AG	11/01/2010	MASS_TRNSF	05/16/1995
IL	AG	11/01/2010	MASS_TRNSF	05/16/1995
IN	AG	11/01/2010	MASS_TRNSF	05/16/1995
KS	AG	11/01/2010	MASS_TRNSF	05/16/1995
KY	AG	11/01/2010	MASS_TRNSF	05/16/1995
LA	AG	11/01/2010	MASS_TRNSF	05/16/1995
MA	AG	11/01/2010	MASS_TRNSF	05/16/1995
MD	AG	11/01/2010	MASS_TRNSF	05/16/1995
ME	AG	11/01/2010	MASS_TRNSF	05/18/1995
MI	AG	11/01/2010	MASS_TRNSF	05/16/1995
MN	AG	11/01/2010	MASS_TRNSF	05/16/1995
MO	AG	11/01/2010	MASS_TRNSF	05/16/1995
MS	AG	11/01/2010	MASS_TRNSF	05/17/1995
MT	AG	11/01/2010	MASS_TRNSF	05/16/1995
NC	AG	11/01/2010	MASS_TRNSF	05/16/1995
ND	AG	11/01/2010	MASS_TRNSF	05/16/1995
NE	AG	11/01/2010	MASS_TRNSF	05/16/1995

Individual 2337119 - SEITZ, RICHARD STEVEN**Administrative Information****Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NH	AG	11/01/2010	MASS_TRNSF	05/16/1995
NJ	AG	11/01/2010	MASS_TRNSF	05/22/1995
NM	AG	11/01/2010	MASS_TRNSF	05/16/1995
NQX	GP	11/01/2010	MASS_TRNSF	07/12/2006
NQX	GS	11/01/2010	MASS_TRNSF	07/12/2006
NSX	GS	04/13/2005	T_NOU5	11/04/2002
NSX	MP	04/13/2005	T_NOU5	11/04/2002
NV	AG	11/01/2010	MASS_TRNSF	05/16/1995
NY	AG	11/01/2010	MASS_TRNSF	05/16/1995
NYSE	GP	11/01/2010	MASS_TRNSF	06/26/2010
NYSE	GS	11/01/2010	MASS_TRNSF	05/21/1998
NYSE	MP	11/01/2010	MASS_TRNSF	06/26/2010
NYSE-MKT	GS	11/01/2010	MASS_TRNSF	11/04/2002
OH	AG	11/01/2010	MASS_TRNSF	05/16/1995
OK	AG	11/01/2010	MASS_TRNSF	05/17/1995
OR	AG	11/01/2010	MASS_TRNSF	05/16/1995
PA	AG	11/01/2010	MASS_TRNSF	05/16/1995
PHLX	GS	11/01/2010	MASS_TRNSF	05/21/1998
PR	AG	11/01/2010	MASS_TRNSF	12/07/2007
RI	AG	11/01/2010	MASS_TRNSF	05/18/1995
SC	AG	11/01/2010	MASS_TRNSF	05/16/1995
SD	AG	11/01/2010	MASS_TRNSF	05/16/1995
TN	AG	11/01/2010	MASS_TRNSF	12/07/2007
TN	AG	05/09/1997	TERMED	05/16/1995
TX	AG	11/01/2010	MASS_TRNSF	05/16/1995
UT	AG	11/01/2010	MASS_TRNSF	05/16/1995
VA	AG	11/01/2010	MASS_TRNSF	05/16/1995
VI	AG	11/01/2010	MASS_TRNSF	12/07/2007
VT	AG	11/01/2010	MASS_TRNSF	05/16/1995
WA	AG	11/01/2010	MASS_TRNSF	05/16/1995
WI	AG	11/01/2010	MASS_TRNSF	05/18/1995
WV	AG	11/01/2010	MASS_TRNSF	05/16/1995
WY	AG	11/01/2010	MASS_TRNSF	05/19/1995

From 03/18/1993 To 11/15/1994 NATIONSBANC INVESTMENTS, INC.(16361)

Reason for Termination Other

Termination Comment OTH; TRANSFERRED TO DEPT. WHERE REGISTRATION

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	11/30/1994	TERMED	04/23/1993
FINRA	MP	11/30/1994	TERMED	09/24/1993
FINRA	MR	11/30/1994	TERMED	09/24/1993
FINRA	RG	11/30/1994	TERMED	03/23/1993
FINRA	GP	10/11/1993	PURGED	

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

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Individual 2337119 - SEITZ, RICHARD STEVEN

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NC	AG	11/30/1994	TERMED	05/05/1993

Individual 2337119 - SEITZ, RICHARD STEVEN

Administrative Information

Professional Designations

<<No Professional Designations found for this Individual.>>

Employment History

From	11/2010	To	Present	Name	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
				Location	CHARLOTTE, NC
				Position	Mass Transfer
				Investment Related	Yes
From	05/1995	To	11/2010	Name	BANC OF AMERICA SECURITIES LLC
				Location	CHARLOTTE, NC, USA
				Position	OTHER - REGISTERED REPRESENTATIVE
				Investment Related	Yes
From	11/1992	To	05/1995	Name	NATIONSBANK OF NORTH CAROLINA N.A.
				Location	CHARLOTTE, NC
				Position	VICE_PRESIDENT - Vice President
				Investment Related	No
From	03/1993	To	11/1994	Name	NATIONSBANC INVESTMENTS, INC.
				Location	CHARLOTTE, NC
				Position	OTHER - REGISTERED REPRESENTATIVE
				Investment Related	Yes
From	07/1992	To	11/1992	Name	UNEMPLOYED (UNDER SEVERANCE PLAN-SWISS B
				Location	CHARLOTTE, NC
				Position	OTHER - NOT GIVEN
				Investment Related	No
From	10/1984	To	07/1992	Name	SWISS BANK CORPORATION
				Location	CHICAGO, IL
				Position	OTHER - VICE PRESIDENT MGR. -TRADING R
				Investment Related	No

Office of Employment History

From 11/2010 To Present

Name MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Independent Contractor No

Office of Employment Address

Individual 2337119 - SEITZ, RICHARD STEVEN

Administrative Information

Office of Employment History

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
457029	GM-CLT02	GM-CLT02	Yes	No	11/01/2010		Located At
	Address 214 NORTH TRYON ST CHARLOTTE, NC 28255 UNITED STATES						
457009	GM-CLT01	GM-CLT01	Yes	No	11/01/2010		Located At
	Address 100 N. TRYON ST CHARLOTTE, NC 28255 UNITED STATES						

From 05/1995 To 11/2010

Name BANC OF AMERICA SECURITIES LLC(26091)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
288685	134	134	Yes	No	05/13/2009	11/01/2010	Located At
	Address 100 N. TRYON ST CHARLOTTE, NC 28255 UNITED STATES						
150120	89	89	Yes	No	06/12/2006	11/01/2010	Located At
	Address 214 NORTH TRYON ST CHARLOTTE, NC 28255 UNITED STATES						
150120	89	89	Yes	No	06/12/2006	05/13/2009	Located At
	Address 214 NORTH TRYON ST CHARLOTTE, NC 28255 UNITED STATES						
90398	38	38	Yes	No	04/09/2009	04/09/2009	Located At
	Address ONE BRYANT PARK NEW YORK, NY 10036 UNITED STATES 28373 No No 05/10/1995 06/12/2006 Located At						
	Address 214 N. TRYON ST. CHARLOTTE, NC 28255 UNITED STATES						

From 03/1993 To 11/1994

Name NATIONSBANC INVESTMENTS, INC.(16361)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	03/18/1993	11/15/1994	Located At
	Address NATIONSBANK PLAZA CHARLOTTE, NC 28255						

Individual 2337119 - SEITZ, RICHARD STEVEN

Administrative Information

Other Business

<<No Other Business found for this Individual.>>

Exam Appointments

<<No Exam Appointments found for this Individual.>>

Exam History

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S7	20788278	Official Result	04/22/1993	04/22/1993	Passed	86	-
S24	20788275	Official Result	11/02/2001	11/01/2001	Passed	72	09/13/2001-01/11/2002
S24	20788274	Window Expired	06/23/1993			0	-
S53	20788276	Official Result	08/13/1993	08/13/1993	Passed	88	-
S63	20788277	Official Result	05/03/1993	05/03/1993	Passed	84	-

CE Regulatory Element Status

Current CE Status SATISFIED

CE Base Date 03/23/1993

CE Appointments

<<No CE Appointments found for this Individual.>>

Current CE

<<No Current CE found for this Individual.>>

Next CE

Window Dates	Requirement Type	Session
03/23/2016-07/20/2016	Anniversary	201

CE Directed Sequence History

<<No CE Directed Sequence History found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Dates found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201	SATISFIED	04/15/2013	03/23/2013-07/20/2013	04/15/2013 - CMPLT
Anniversary	201	REQUIRED	03/25/2013	03/23/2013-07/20/2013	
Anniversary	201	SATISFIED	03/29/2010	03/23/2010-07/20/2010	03/29/2010 - CMPLT
Anniversary	201	REQUIRED	03/23/2010	03/23/2010-07/20/2010	
Anniversary	201	SATISFIED	04/24/2007	03/23/2007-07/20/2007	04/24/2007 - CMPLT
Anniversary	201	REQUIRED	03/23/2007	03/23/2007-07/20/2007	
Anniversary	201	SATISFIED	04/13/2004	03/23/2004-07/20/2004	04/13/2004 - CMPLT
Anniversary	201	REQUIRED	03/23/2004	03/23/2004-07/20/2004	
Anniversary	201	SATISFIED	04/23/2001	03/23/2001-07/20/2001	04/23/2001 - CMPLT
Anniversary	201	REQUIRED	03/23/2001	03/23/2001-07/20/2001	
Anniversary	101		04/08/1998	03/23/1998-07/20/1998	04/08/1998 - CMPLT
Anniversary	101	SATISFIED	04/08/1998	03/23/1998-07/20/1998	

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Individual 2337119 - SEITZ, RICHARD STEVEN

Administrative Information

Previous CE Requirement Status

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	101			03/23/1995-07/20/1995	

Filing History

Filing Date	Form Type	Filing type	Source
02/25/2013	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
10/12/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/29/2012	BR	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
05/14/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/18/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
03/13/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/17/2011	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
08/18/2011	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/03/2010	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	BANC OF AMERICA SECURITIES LLC (26091)
06/26/2010	U4	Admin	NYSE
01/19/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
05/18/2009	U4	Upload - New U4 Questions	BANC OF AMERICA SECURITIES LLC (26091)
05/15/2009	BR	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
05/15/2009	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
05/13/2009	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/09/2009	BR	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
12/07/2007	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
08/04/2006	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
07/29/2006	U4	Conversion	BANC OF AMERICA SECURITIES LLC (26091)
06/16/2006	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/26/2004	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/15/2004	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
03/25/2004	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
01/16/2003	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
11/04/2002	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
11/26/2001	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
09/12/2001	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)

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Snapshot - Individual

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Individual 2337119 - SEITZ, RICHARD STEVEN

Filing History

Filing Date	Form Type	Filing type	Source
07/05/1999	U5	Conversion	BANC OF AMERICA SECURITIES LLC (26091)
07/05/1999	U4	Conversion	BANC OF AMERICA SECURITIES LLC (26091)
07/05/1999	U5	Conversion	BANC OF AMERICA INVESTMENT SERVICES, INC. (16361)
07/05/1999	U4	Conversion	BANC OF AMERICA INVESTMENT SERVICES, INC. (16361)

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Snapshot - Individual

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Individual 2337119 - SEITZ, RICHARD STEVEN

Reportable Events

<<No Reportable Events found for this Individual.>>

Regulator Archive and Z Records

<<No Regulator Archive and Z Records found for this Individual.>>

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Notice

CRD® or IARD(TM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information.

FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA).

FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators.

Reportable Information: Information that is required to be reported on the current version of the uniform registration forms.

Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
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Details for Request#: 12436651
Report: Snapshot - Individual
Requested By: TLW

<u>Parameter Name</u>	<u>Value</u>
Request by CRD# or SSN:	CRD#
Individual CRD# or SSN	4268242
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business?	Yes
Include Exam Information?	Yes
Include Continuing Education Information? (CRD Only)	Yes
Include Filing History? (CRD Only)	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information? (CRD Only)	Yes
Is this a Pre-Registration Report Request? (CRD Only)	No

Individual 4268242 - WHITE III, JULIAN B

Administrative Information

Composite Information

Full Legal Name WHITE III, JULIAN B

State of Residence NC

Active Employments

Current Employer MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Firm Main Address
 ONE BRYANT PARK
 NEW YORK
 NY, UNITED STATES
 10036

Firm Mailing Address
 222 BROADWAY
 NY3-222-12-05
 NEW YORK
 NY, UNITED STATES
 10038

Business Telephone# 800-637-7455

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
457029	GM-CLT02	GM-CLT02	Yes	No	11/01/2010		Located At
Address 214 NORTH TRYON ST CHARLOTTE, NC 28255 UNITED STATES							

Reportable Disclosures? The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5).
 Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutory Disqualification? BLNK

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information

Individual CRD# 4268242

Other Names Known By WHITE, JULIAN B

Year of Birth 1978

Individual 4268242 - WHITE III, JULIAN B

Administrative Information**Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
From 11/01/2010 To Present		MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)		
AK	AG	11/01/2010	APPROVED	11/01/2010
AL	AG	11/01/2010	APPROVED	11/01/2010
AR	AG	11/01/2010	APPROVED	11/01/2010
ARCA	GP	04/18/2012	APPROVED	04/18/2012
ARCA	GS	11/01/2010	APPROVED	11/01/2010
AZ	AG	11/01/2010	APPROVED	11/01/2010
BOX	GP	05/15/2012	APPROVED	05/15/2012
BOX	GS	05/15/2012	APPROVED	05/15/2012
BX	GP	11/01/2010	APPROVED	11/01/2010
BX	GS	11/01/2010	APPROVED	11/01/2010
CA	AG	11/01/2010	APPROVED	11/01/2010
CBOE	GS	11/03/2010	APPROVED	11/03/2010
CHX	GP	11/01/2010	APPROVED	11/01/2010
CHX	GS	11/01/2010	APPROVED	11/01/2010
CHX	MP	11/01/2010	APPROVED	11/01/2010
CO	AG	11/01/2010	APPROVED	11/01/2010
CT	AG	11/01/2010	APPROVED	11/01/2010
DC	AG	11/01/2010	APPROVED	11/01/2010
DE	AG	11/01/2010	APPROVED	11/01/2010
FINRA	GP	11/01/2010	APPROVED	11/01/2010
FINRA	GS	11/01/2010	APPROVED	11/01/2010
FINRA	MP	11/01/2010	APPROVED	11/01/2010
FL	AG	11/01/2010	APPROVED	11/01/2010
GA	AG	11/01/2010	APPROVED	11/01/2010
HI	AG	11/01/2010	APPROVED	11/01/2010
IA	AG	11/01/2010	APPROVED	11/01/2010
ID	AG	11/01/2010	APPROVED	11/01/2010
IL	AG	11/01/2010	APPROVED	11/01/2010
IN	AG	11/01/2010	APPROVED	11/01/2010
ISE	GP	04/18/2012	APPROVED	04/18/2012
ISE	GS	04/18/2012	APPROVED	04/18/2012
KS	AG	11/01/2010	APPROVED	11/01/2010
KY	AG	11/01/2010	APPROVED	11/01/2010
LA	AG	11/01/2010	APPROVED	11/01/2010
MA	AG	11/01/2010	APPROVED	11/01/2010
MD	AG	11/01/2010	APPROVED	11/01/2010
ME	AG	11/01/2010	APPROVED	11/01/2010
MI	AG	11/01/2010	APPROVED	11/01/2010
MN	AG	11/01/2010	APPROVED	11/01/2010
MO	AG	11/01/2010	APPROVED	11/01/2010
MS	AG	11/01/2010	APPROVED	11/01/2010

Individual 4268242 - WHITE III, JULIAN B

Administrative Information**Registrations with Current Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
MT	AG	11/01/2010	APPROVED	11/01/2010
NC	AG	11/01/2010	APPROVED	11/01/2010
ND	AG	11/01/2010	APPROVED	11/01/2010
NE	AG	11/01/2010	APPROVED	11/01/2010
NH	AG	11/01/2010	APPROVED	11/01/2010
NJ	AG	11/01/2010	APPROVED	11/01/2010
NM	AG	11/01/2010	APPROVED	11/01/2010
NQX	GP	11/01/2010	APPROVED	11/01/2010
NQX	GS	11/01/2010	APPROVED	11/01/2010
NV	AG	11/01/2010	APPROVED	11/01/2010
NY	AG	11/01/2010	APPROVED	11/01/2010
NYSE	GP	11/01/2010	APPROVED	11/01/2010
NYSE	GS	11/01/2010	APPROVED	11/01/2010
NYSE	MP	11/01/2010	APPROVED	11/01/2010
NYSE-MKT	GP	11/01/2010	APPROVED	11/01/2010
NYSE-MKT	GS	11/01/2010	APPROVED	11/01/2010
NYSE-MKT	MP	11/01/2010	APPROVED	11/01/2010
OH	AG	11/01/2010	APPROVED	11/01/2010
OK	AG	11/01/2010	APPROVED	11/01/2010
OR	AG	11/01/2010	APPROVED	11/01/2010
PA	AG	11/01/2010	APPROVED	11/01/2010
PHLX	GP	04/18/2012	APPROVED	04/18/2012
PHLX	GS	11/01/2010	APPROVED	11/01/2010
PR	AG	11/01/2010	APPROVED	11/01/2010
RI	AG	11/01/2010	APPROVED	11/01/2010
SC	AG	11/01/2010	APPROVED	11/01/2010
SD	AG	11/01/2010	APPROVED	11/01/2010
TN	AG	11/01/2010	APPROVED	11/01/2010
TX	AG	11/01/2010	APPROVED	11/01/2010
UT	AG	11/01/2010	APPROVED	11/01/2010
VA	AG	11/01/2010	APPROVED	11/01/2010
VT	AG	11/01/2010	APPROVED	11/01/2010
WA	AG	11/01/2010	APPROVED	11/01/2010
WI	AG	11/01/2010	APPROVED	11/01/2010
WV	AG	11/01/2010	APPROVED	11/01/2010
WY	AG	11/01/2010	APPROVED	11/01/2010

Registrations with Previous Employer(s)

From 09/16/2004 To 11/01/2010 BANC OF AMERICA SECURITIES LLC(26091)

Reason for Termination Voluntary

Termination Comment MASS TRANSFER = 167165

Regulator	Registration Category	Status Date	Registration Status	Approval Date
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Individual 4268242 - WHITE III, JULIAN B

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	11/01/2010	MASS_TRNSF	08/24/2005
AL	AG	11/01/2010	MASS_TRNSF	08/24/2005
AR	AG	11/01/2010	MASS_TRNSF	08/24/2005
ARCA	GS	11/01/2010	MASS_TRNSF	01/01/2005
AZ	AG	11/01/2010	MASS_TRNSF	08/24/2005
BX	GP	11/01/2010	MASS_TRNSF	11/18/2005
BX	GS	11/01/2010	MASS_TRNSF	01/01/2005
CA	AG	11/01/2010	MASS_TRNSF	08/24/2005
CBOE	GS	05/03/2010	T_NOU5	09/20/2005
CHX	GP	11/01/2010	MASS_TRNSF	11/18/2005
CHX	GS	11/01/2010	MASS_TRNSF	01/01/2005
CHX	MP	11/01/2010	MASS_TRNSF	01/12/2006
CO	AG	11/01/2010	MASS_TRNSF	08/24/2005
CT	AG	11/01/2010	MASS_TRNSF	08/24/2005
DC	AG	11/01/2010	MASS_TRNSF	08/24/2005
DE	AG	11/01/2010	MASS_TRNSF	08/24/2005
FINRA	GP	11/01/2010	MASS_TRNSF	11/18/2005
FINRA	GS	11/01/2010	MASS_TRNSF	01/01/2005
FINRA	MP	11/01/2010	MASS_TRNSF	01/12/2006
FINRA	IB	10/15/2010	TERMED	04/01/2010
FL	AG	11/01/2010	MASS_TRNSF	08/24/2005
GA	AG	11/01/2010	MASS_TRNSF	01/06/2005
HI	AG	11/01/2010	MASS_TRNSF	08/24/2005
IA	AG	11/01/2010	MASS_TRNSF	08/24/2005
ID	AG	11/01/2010	MASS_TRNSF	08/24/2005
IL	AG	11/01/2010	MASS_TRNSF	08/24/2005
IN	AG	11/01/2010	MASS_TRNSF	08/24/2005
KS	AG	11/01/2010	MASS_TRNSF	08/24/2005
KY	AG	11/01/2010	MASS_TRNSF	08/24/2005
LA	AG	11/01/2010	MASS_TRNSF	08/24/2005
MA	AG	11/01/2010	MASS_TRNSF	08/24/2005
MD	AG	11/01/2010	MASS_TRNSF	08/24/2005
ME	AG	11/01/2010	MASS_TRNSF	08/24/2005
MI	AG	11/01/2010	MASS_TRNSF	08/24/2005
MN	AG	11/01/2010	MASS_TRNSF	08/24/2005
MO	AG	11/01/2010	MASS_TRNSF	08/24/2005
MS	AG	11/01/2010	MASS_TRNSF	08/24/2005
MT	AG	11/01/2010	MASS_TRNSF	08/24/2005
NC	AG	11/01/2010	MASS_TRNSF	08/24/2005
ND	AG	11/01/2010	MASS_TRNSF	08/24/2005
NE	AG	11/01/2010	MASS_TRNSF	08/24/2005
NH	AG	11/01/2010	MASS_TRNSF	08/24/2005

Individual 4268242 - WHITE III, JULIAN B

Administrative Information

Registrations with Previous Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NJ	AG	11/01/2010	MASS_TRNSF	08/24/2005
NM	AG	11/01/2010	MASS_TRNSF	08/24/2005
NQX	GP	11/01/2010	MASS_TRNSF	07/12/2006
NQX	GS	11/01/2010	MASS_TRNSF	07/12/2006
NSX	GP	04/13/2005	T_NOU5	11/18/2005
NSX	GS	04/13/2005	T_NOU5	01/01/2005
NSX	MP	04/13/2005	T_NOU5	01/12/2006
NV	AG	11/01/2010	MASS_TRNSF	08/24/2005
NY	AG	11/01/2010	MASS_TRNSF	08/24/2005
NYSE	GP	11/01/2010	MASS_TRNSF	06/26/2010
NYSE	GS	11/01/2010	MASS_TRNSF	01/13/2005
NYSE	MP	11/01/2010	MASS_TRNSF	06/26/2010
NYSE-MKT	GP	11/01/2010	MASS_TRNSF	12/01/2005
NYSE-MKT	GS	11/01/2010	MASS_TRNSF	01/13/2005
NYSE-MKT	MP	11/01/2010	MASS_TRNSF	01/12/2006
OH	AG	11/01/2010	MASS_TRNSF	08/24/2005
OK	AG	11/01/2010	MASS_TRNSF	08/24/2005
OR	AG	11/01/2010	MASS_TRNSF	08/24/2005
PA	AG	11/01/2010	MASS_TRNSF	08/24/2005
PHLX	GS	11/01/2010	MASS_TRNSF	01/01/2005
PR	AG	11/01/2010	MASS_TRNSF	08/24/2005
RI	AG	11/01/2010	MASS_TRNSF	08/24/2005
SC	AG	11/01/2010	MASS_TRNSF	08/24/2005
SD	AG	11/01/2010	MASS_TRNSF	08/24/2005
TN	AG	11/01/2010	MASS_TRNSF	08/24/2005
TX	AG	11/01/2010	MASS_TRNSF	08/24/2005
UT	AG	11/01/2010	MASS_TRNSF	08/24/2005
VA	AG	11/01/2010	MASS_TRNSF	08/24/2005
VT	AG	11/01/2010	MASS_TRNSF	08/24/2005
WA	AG	11/01/2010	MASS_TRNSF	08/24/2005
WI	AG	11/01/2010	MASS_TRNSF	08/24/2005
WV	AG	11/01/2010	MASS_TRNSF	08/24/2005
WY	AG	11/01/2010	MASS_TRNSF	08/24/2005

Individual 4268242 - WHITE III, JULIAN B

Administrative Information

Professional Designations

<<No Professional Designations found for this Individual.>>

Employment History

From	11/2010	To	Present	Name	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
				Location	CHARLOTTE, NC
				Position	Mass Transfer
				Investment Related	Yes
From	09/2004	To	11/2010	Name	BANC OF AMERICA SECURITES, LLC
				Location	ATLANTA, GA, USA
				Position	SENIOR SALES ASSISTANT
				Investment Related	Yes
From	07/2001	To	09/2004	Name	BANK OF AMERICA, NA
				Location	ATLANTA, GA, USA
				Position	TREASURY MANAGEMENT SALES ANALYST
				Investment Related	No
From	04/2001	To	07/2001	Name	UNEMPLOYED - STUDENT
				Location	CHAPEL HILL, NC, USA
				Position	STUDENT
				Investment Related	No
From	06/2000	To	04/2001	Name	SCOTTRADE
				Location	RALEIGH, NC, USA
				Position	INTERN
				Investment Related	Yes
From	08/1999	To	06/2000	Name	UNEMPLOYED - STUDENT
				Location	CHAPEL HILL, NC, USA
				Position	STUDENT
				Investment Related	No
From	06/1999	To	08/1999	Name	HANNAFORD BROTHERS GROCERS
				Location	RALEIGH, NC, USA
				Position	INTERN
				Investment Related	No
From	08/1998	To	06/1999	Name	UNEMPLOYED - STUDENT
				Location	CHAPEL HILL, NC, USA

Individual 4268242 - WHITE III, JULIAN B

Administrative Information

Employment History

		Position STUDENT
		Investment Related No
From 06/1998	To 08/1998	Name UPS
		Location GREENSBORO, NC, USA
		Position TRUCK LOADER
		Investment Related No
From 08/1997	To 06/1998	Name UNEMPLOYED - STUDENT
		Location CHAPEL HILL, NC, USA
		Position STUDENT
		Investment Related No
From 06/1997	To 08/1997	Name SHERATON HILLS
		Location HIGH POINT, NC, USA
		Position LIFEGUARD
		Investment Related No
From 08/1996	To 06/1997	Name UNEMPLOYED - STUDENT
		Location HIGH POINT, NY, USA
		Position STUDENT
		Investment Related No
From 06/1996	To 08/1996	Name SHERATON HILLS
		Location HIGH POINT, NC, USA
		Position LIFEGUARD
		Investment Related No
From 08/1995	To 06/1996	Name UNEMPLOYED - STUDENT
		Location HIGH POINT, NC, USA
		Position STUDENT
		Investment Related No
From 06/1995	To 08/1995	Name SHERATON HILLS
		Location HIGH POINT, NC
		Position LIFEGUARD
		Investment Related No
From 08/1994	To 06/1995	Name UNEMPLOYED - STUDENT
		Location HIGH POINT, NC, USA
		Position STUDENT

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

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Individual 4268242 - WHITE III, JULIAN B

Administrative Information

Employment History

Investment Related No

Office of Employment History

From 11/2010 To Present

Name MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED(7691)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
457029	GM-CLT02	GM-CLT02	Yes	No	11/01/2010		Located At
Address 214 NORTH TRYON ST CHARLOTTE, NC 28255 UNITED STATES							

From 09/2004 To 11/2010

Name BANC OF AMERICA SECURITIES LLC(26091)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
150120	89	89	Yes	No	06/12/2006	11/01/2010	Located At
Address 214 NORTH TRYON ST CHARLOTTE, NC 28255 UNITED STATES							
90393	30	30	Yes	No	06/12/2006	06/12/2006	Located At
Address 600 PEACHTREE ST. NE ATLANTA, GA 30308 UNITED STATES							
			No	No	09/16/2004	06/12/2006	Located At
Address 600 PEACHTREE ST. N.W. ATLANTA, GA 30308 UNITED STATES							

From 09/2000 To 03/2001

Name SCOTTRADE, INC.(8206)

Independent Contractor No

Office of Employment Address

CRD Branch#	NYSE Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	09/05/2000	03/16/2001	
Address							

Other Business

1.FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATION

Individual 4268242 - WHITE III, JULIAN B

Administrative Information

2.NAME OF OUTSIDE BUSINESS ORGANIZATION: LENDING CLUB
 3.INVESTMENT RELATED: Y
 4.ADDRESS OF BUSINESS:
 71 STEVENSON, SUITE 300,
 SAN FRANCISCO, CALIFORNIA 94105
 5.COMPENSATION FOR ACTIVITY: N
 6.POSITION, TITLE, ASSOCIATION: OTHER, ACCOUNT HOLDER
 7.START DATE OF RELATIONSHIP: 10/15/2012
 8.NUMBER OF HOURS DEVOTED: 2 HOUR(S) ANNUALLY
 9.NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0
 10.DUTIES: WONDERING IF I CAN OPEN AN ACCOUNT TO INVEST IN PEER TO PEER LOANS/NOTES VIA
 HTTPS://WWW.LENDINGCLUB.COM/HOME.ACTION.

Exam Appointments

<<No Exam Appointments found for this Individual.>>

Exam History

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S7	23942388	Official Result	01/01/2005	12/20/2004	Passed	90	10/19/2004-02/16/2005
S24	23942385	Official Result	11/18/2005	11/17/2005	Passed	77	09/21/2005-01/19/2006
S53	23942386	Official Result	01/12/2006	01/11/2006	Passed	78	12/02/2005-04/01/2006
S63	23942387	Official Result	01/06/2005	01/05/2005	Passed	86	10/19/2004-02/16/2005

CE Regulatory Element Status

Current CE Status SATISFIED
 CE Base Date 01/01/2005

CE Appointments

<<No CE Appointments found for this Individual.>>

Current CE

<<No Current CE found for this Individual.>>

Next CE

Window Dates	Requirement Type	Session
01/01/2016-04/29/2016	Anniversary	201

CE Directed Sequence History

<<No CE Directed Sequence History found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Dates found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201	SATISFIED	03/18/2013	01/01/2013-04/30/2013	03/18/2013 - CMPLT
Anniversary	201	REQUIRED	01/01/2013	01/01/2013-04/30/2013	
Anniversary	201	SATISFIED	01/14/2010	01/01/2010-04/30/2010	01/14/2010 - CMPLT
Anniversary	201	REQUIRED	01/01/2010	01/01/2010-04/30/2010	
Anniversary	201	SATISFIED	02/13/2007	01/01/2007-04/30/2007	02/13/2007 - CMPLT

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

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Individual 4268242 - WHITE III, JULIAN B

Administrative Information

Previous CE Requirement Status

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201	REQUIRED	01/01/2007	01/01/2007-04/30/2007	

Filing History

Filing Date	Form Type	Filing type	Source
05/07/2013	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
10/24/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
10/15/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
07/05/2012	BR	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
05/15/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
04/18/2012	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/03/2010	U4	Amendment	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED (7691)
11/01/2010	MT	Mass Transfer	BANC OF AMERICA SECURITIES LLC (26091)
10/15/2010	U5	Partial	BANC OF AMERICA SECURITIES LLC (26091)
06/26/2010	U4	Admin	NYSE
04/22/2010	BR	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/14/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
04/01/2010	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
05/18/2009	U4	Upload - New U4 Questions	BANC OF AMERICA SECURITIES LLC (26091)
02/09/2007	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
08/05/2006	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
07/29/2006	U4	Conversion	BANC OF AMERICA SECURITIES LLC (26091)
06/22/2006	BR	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
06/15/2006	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
12/01/2005	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
09/20/2005	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
08/24/2005	U4	Amendment	BANC OF AMERICA SECURITIES LLC (26091)
10/18/2004	U4	Initial	BANC OF AMERICA SECURITIES LLC (26091)
03/23/2001	NRF	Amendment	SCOTTRADE, INC. (8206)
09/05/2000	NRF	Initial	SCOTTRADE, INC. (8206)

CRD® or IARD(TM) System Current As Of: 10/08/2013

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: 7691 - MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED

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Individual 4268242 - WHITE III, JULIAN B

Reportable Events

<<No Reportable Events found for this Individual.>>

Regulator Archive and Z Records

<<No Regulator Archive and Z Records found for this Individual.>>
