



IAPD Report

WILLIAM ADAMS WEIMAR

CRD# 1200209

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

WILLIAM ADAMS WEIMAR (CRD# 1200209)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/25/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	10/26/2007
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	10/26/2007

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **21** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	UBS FINANCIAL SERVICES INC.	8174	BATON ROUGE, LA	12/11/2002 - 11/02/2007
B	UBS FINANCIAL SERVICES INC.	8174	BATON ROUGE, LA	08/14/2000 - 11/02/2007
B	J.C. BRADFORD & CO.	1287	NEW YORK, NY	04/03/1992 - 08/14/2000

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **21** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
Main Address: ONE BRYANT PARK
NEW YORK, NY 10036
Firm ID#: 7691

Regulator	Registration	Status	Date
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/14/2014
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/14/2014
B Cboe Exchange, Inc.	General Securities Representative	Approved	10/26/2007
B FINRA	General Securities Representative	Approved	10/26/2007
B Nasdaq Stock Market	General Securities Representative	Approved	10/26/2007
B New York Stock Exchange	General Securities Representative	Approved	10/26/2007
B Alabama	Agent	Approved	10/26/2007
B Arizona	Agent	Approved	08/19/2015
B Arkansas	Agent	Approved	10/11/2021
B California	Agent	Approved	12/10/2025
B Colorado	Agent	Approved	02/02/2022
B District of Columbia	Agent	Approved	02/28/2024
B Florida	Agent	Approved	10/29/2007



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	01/05/2011
B Indiana	Agent	Approved	04/12/2017
B Kentucky	Agent	Approved	02/26/2026
B Louisiana	Agent	Approved	10/26/2007
IA Louisiana	Investment Adviser Representative	Approved	12/22/2015
B Maryland	Agent	Approved	07/26/2019
B Minnesota	Agent	Approved	10/26/2007
B Mississippi	Agent	Approved	10/26/2007
B North Carolina	Agent	Approved	10/26/2007
IA Oklahoma	Investment Adviser Representative	Approved	10/30/2007
B Oklahoma	Agent	Approved	06/09/2022
B Pennsylvania	Agent	Approved	09/03/2020
B South Carolina	Agent	Approved	10/26/2007
B Tennessee	Agent	Approved	10/26/2007
B Texas	Agent	Approved	10/26/2007
IA Texas	Investment Adviser Representative	Approved	10/26/2007
B Virginia	Agent	Approved	10/26/2007

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**



Qualifications

1800 CITY FARM DR
BATON ROUGE, LA 70806



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	12/17/1983
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/30/1999
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B Uniform Securities Agent State Law Examination (S63)	Series 63	07/17/1985
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	12/11/2002 - 11/02/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	BATON ROUGE, LA
B	08/14/2000 - 11/02/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	BATON ROUGE, LA
B	04/03/1992 - 08/14/2000	J.C. BRADFORD & CO.	CRD# 1287	NEW YORK, NY
B	12/10/1984 - 03/27/1992	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	03/07/1984 - 12/13/1984	ISFA CORPORATION	CRD# 12984	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2009 - Present	BANK OF AMERICA, N.A.	SENIOR FINANCIAL ADVISOR	Y	TUCSON, AZ, United States
10/2007 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SENIOR FINANCIAL ADVISOR	Y	BATON ROUGE, LA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

I*94350FOR PROFIT OR NOT FOR PROFIT: NON-PROFIT ORGANIZATIONNAME OF OUTSIDE BUSINESS ORGANIZATION: BATON ROUGE GERNERAL FOUNDATION BOARD OF GOVERNORSINVESTMENT RELATED: NADDRESS OF BUSINESS: 8490 PICARDY AVE, BATON ROUGE, LOUISIANA 70809NATURE OF BUSINESS: CHARITABLE ORGANIZATION,POSITION, TITLE, ASSOCIATION: ADVISORY BOARD MEMBER, START DATE OF RELATIONSHIP: 3/30/2016NUMBER OF HOURS DEVOTED: 5 HOUR(S) MONTHLYNUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0DUTIES: GENERAL BOARD MEMBER; NOT A MEMBER OF ANY COMMITTEE. TERM EXPIRES DECEMBER 2016.

I*: 2070267
Entity Type: Entity For Profit
Name of OBA: ADAMS PLANTATION LLC
Address: Baton Rouge, LA
Investment Related: No
Position, Title, Association: Owner
Employee Start Date: 06/01/2004
Number of Hours: 2 hrs annually



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Number of Hours during trading: 0

Duties: Rent land for farming use. Participation in rental collection



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/11/1987

Docket/Case Number: NEW-614-AWC

Employing firm when activity occurred which led to the regulatory action: PAINWEBBER, INCORPORATED

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 10/06/1988

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details:

**Regulator Statement**

ON OCTOBER 6, 1988, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. NEW-614-AWC (DISTRICT NO. 5) SUBMITTED BY RESPONDENTS PAINWEBBER, INCORPORATED, WILLIAM B. MILLER AND WILLIAM A. WEIMAR WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$1,000.00, JOINTLY AND SEVERALLY (ARTICLE III, SECTIONS 1 AND 27 OF THE RULES OF FAIR PRACTICE - RESPONDENT WEIMAR EXECUTED OR CAUSED TO BE EXECUTED A PURCHASE OF 23,128 SHARES IN A HIGH YIELD TRUST-GOVERNMENT SECURITIES FUND FOR A TOTAL COST OF \$244,000.40 FOR THE ACCOUNT OF A CUSTOMER AND FAILED AND NEGLECTED TO INFORM SAID CUSTOMER THAT THIS INVESTMENT WAS NEAR THE FUND'S BREAKPOINT AND THAT AN INVESTMENT OF \$250,000.00 INTO THE FUND WOULD HAVE REDUCED THE COMMISSION CHARGE FROM 3.5% TO 2.5% OF THE OFFERING PRICE; AND, RESPONDENT MEMBER, ACTING THROUGH RESPONDENT MILLER, FAILED TO PROPERLY SUPERVISE RESPONDENT WEIMAR).

\$1,000 PAID J&S 10/18/88 - DEPOSIT #249

Reporting Source: Individual

Regulatory Action Initiated By: * CHARLES IVEY (CUSTOMER)

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/11/1987

Docket/Case Number: NEW-614-AWC

Employing firm when activity occurred which led to the regulatory action: PAINWEBBER, INCORPORATED

Product Type:

Other Product Type(s):

Allegations: * FAILURE TO DISCUSS BREAKPOINTS ON MUTUAL FUNDS

Current Status: Final

Resolution: Consent

Resolution Date: 10/06/1988

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: * ACCEPTANCE, WAIVER AND CONSENT. A PENALTY OF A CENSURE AND A MONETARY FINE OF \$1000.00 ASSESSED JOINTLY AND SEVERALLY

Broker Statement

DUE TO THE FACT WE WERE TRYING TO MEET MR. IVEY'S INVESTMENT OBJECTIVES AND THAT THE AMOUNT OF FUNDS WERE LIMITED, BREAKPOINTS NEVER ENTERED THE CONVERSATION. AT OUR MEETING AT MR. IVEY'S HOME ALL FEES AND CHARGES WERE DISCUSSED AND MR. IVEY WAS GIVEN A PROPECTUS AT THIS TIME. MR. IVEY



WANTED TO RECEIVE ONLY \$3100.00/MONTH INCOME ANY MORE
INVESTED
IN THE FUND WOULD HAVE PUT HIM OVER THIS LIMIT. HAD MR. IVEY
INVESTED AT THE BREAKPOINT HIS INVESTMENT OBJECTIVE WOULD NOT
HAVE BEEN MET.

** SEE INCIDENT #1.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CLAIMANTS ALLEG THAT FINANCIAL ADVISOR RECOMMENDED MUTUAL FUNDS, EQUITIES, AND A VARIABLE ANNUITY THAT EXPOSED THEIR RETIREMENT ASSETS TO UNREASONABLE RISK AND RESULTED IN LOSSES.

Product Type: Annuity-Variable
Mutual Fund
Other: EQUITIES

Alleged Damages: \$300,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 09-03985

Filing date of arbitration/CFTC reparation or civil litigation: 07/13/2009

Customer Complaint Information

Date Complaint Received: 07/13/2009

Complaint Pending? No

Status: Settled

Status Date: 11/05/2010

Settlement Amount: \$47,500.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CLAIMANTS ALLEG THAT FINANCIAL ADVISOR RECOMMENDED MUTUAL



FUNDS, EQUITIES, AND A VARIABLE ANNUITY THAT EXPOSED THEIR RETIREMENT ASSETS TO UNREASONABLE RISK AND RESULTED IN LOSSES.

Product Type: Annuity-Variable
Other: EQUITIES

Alleged Damages: \$300,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 09-03985

Filing date of arbitration/CFTC reparation or civil litigation: 07/13/2009

Customer Complaint Information

Date Complaint Received: 07/13/2009

Complaint Pending? No

Status: Settled

Status Date: 11/05/2010

Settlement Amount: \$47,500.00

Individual Contribution Amount: \$0.00

Broker Statement RR DENIES THE ALLEGATIONS OF THE ARBITRATION FILED AFTER RR LEFT FIRM. FIRM SETTLED TO RESOLVE THE DISPUTE AND AVOID THE COST OF ARBITRATION AND WAS NOT AN ADMISSION OF GUILT OR WRONGDOING. RR WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT.



End of Report

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