IAPD Report

MYRON DAVID STAYMAN

CRD# 1391422

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

MYRON DAVID STAYMAN (CRD# 1391422)

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 **12/16/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	07/23/1985
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	07/30/1985

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **29** 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

No information reported.

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
Customer Dispute	6

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 **29** 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 Sales Supervisor	Approved	07/07/1988
B	Cboe Exchange, Inc.	General Securities Representative	Approved	03/03/1991
B	FINRA	General Securities Representative	Approved	07/23/1985
B	FINRA	General Securities Sales Supervisor	Approved	07/07/1988
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	09/16/1985
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Alabama	Agent	Approved	03/15/2021
B	Arizona	Agent	Approved	07/10/2003
B	California	Agent	Approved	02/06/1989

Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	07/12/1995
B	Connecticut	Agent	Approved	01/21/1989
B	Delaware	Agent	Approved	05/29/2013
B	District of Columbia	Agent	Approved	09/20/2005
B	Florida	Agent	Approved	07/30/1985
IA	Florida	Investment Adviser Representative	Approved	07/30/1985
B	Georgia	Agent	Approved	09/07/1994
B	Illinois	Agent	Approved	01/22/1992
B	Indiana	Agent	Approved	01/01/1988
B	Maine	Agent	Approved	07/14/1993
B	Maryland	Agent	Approved	09/25/2015
B	Massachusetts	Agent	Approved	02/12/1990
B	Michigan	Agent	Approved	07/25/2016
B	Minnesota	Agent	Approved	06/01/2007
B	Nevada	Agent	Approved	05/14/2012
B	New Hampshire	Agent	Approved	02/13/2006
B	New Jersey	Agent	Approved	06/14/1989
B	New York	Agent	Approved	01/19/1987
B	North Carolina	Agent	Approved	03/29/2006

Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	10/04/1985
B	Pennsylvania	Agent	Approved	06/04/1992
B	Puerto Rico	Agent	Approved	05/24/2013
B	Rhode Island	Agent	Approved	03/11/2003
B	Texas	Agent	Approved	06/19/1990
IA	Texas	Investment Adviser Representative	Restricted Approval	06/19/1990
B	Vermont	Agent	Approved	09/07/1994
B	Virginia	Agent	Approved	02/11/1998
B	Washington	Agent	Approved	07/26/2016

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
19495 BISCAYNE BLVD
AVENTURA, FL 33180

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 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	06/28/1988

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Foreign Currency Options Examination (S15)	Series 15	12/21/1988
B	Interest Rate Options Examination (S5)	Series 5	12/02/1988
B	National Commodity Futures Examination (S3)	Series 3	12/02/1988
B	General Securities Representative Examination (S7)	Series 7	07/20/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/02/1995
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/17/1985

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:

No information reported.

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
10/2009 - Present	BANK OF AMERICA, N.A.	WEALTH MANAGEMENT ADVISOR	Y	AVENTURA, FL, United States
05/1985 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	NOT PROVIDED	Y	AVENTURA, FL, 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*44300
FOR PROFIT OR NOT FOR PROFIT: NON-PROFIT ORGANIZATION
NAME OF OUTSIDE BUSINESS ORGANIZATION: JEWISH NATIONAL FUND
INVESTMENT RELATED: N
ADDRESS OF BUSINESS:
35 E. 69TH ST,
NEW YORK, NEW YORK 10021
NATURE OF BUSINESS: CHARITABLE ORGANIZATION,
POSITION, TITLE, ASSOCIATION: DIRECTOR,
START DATE OF RELATIONSHIP: 9/16/2011
NUMBER OF HOURS DEVOTED: 4 HOUR(S) MONTHLY
NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 4
DUTIES: JEWISH NATIONAL FUND IS A VERY LARGE CHARITABLE ORGANIZATION WHOSE PRIMARY ACTIVITIES INVOLVE PROJECTS IN ISRAEL. THE BOARD HAS OVER 30 PEOPLE THAT SERVE FROM ALL OVER THE USA. THE CHAIRMAN OF THE BOARD IS RONALD LAUDER. I AM VICE PRESIDENT FOR ISRAEL.

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
Customer Dispute	6

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 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	THE CUSTOMER ALLEGES AN UNSUITABLE INVESTMENT RECOMMENDATION AND OMISSION OF MATERIAL FACTS REGARDING A VARIABLE ANNUITY PURCHASED IN SEPTEMBER 2014.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE NOT SPECIFIED.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/05/2015
Complaint Pending?	No
Status:	Denied
Status Date:	06/22/2015

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.
Allegations:	THE CLIENT IS SEEKING COMPENSATION FOR HIS LOSSES IN TECHNOLOGY STOCKS BECAUSE HIS FINANCIAL ADVISOR RELIED ON ML RESEARCH.
Product Type:	Equity - OTC
Alleged Damages:	$110,000.00

Customer Complaint Information

Date Complaint Received:	08/05/2002
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	11/20/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE ALLEGATIONS WERE FOUND TO BE WITHOUT MERIT. THE COMPLAINT EMANATES FROM THE BENEFIT OF HINDSIGHT, THE VOLATILITY OF THE EQUITY MARKETS AND WAS PERFORMANCE DRIVEN.

Disclosure 3 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.
Allegations:	CLAIMANT(S) CLAIMES INCLUDE RESEARCH ALLEGATIONS, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, FAILURE TO RENDER ADVISE, FAILURE TO SUPERVISE, UNSUITABILITY AND NEGLIGENCE
Product Type:	Equity-OTC
Alleged Damages:	$280,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	03/31/2004
Settlement Amount:	

Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	04-01954
Date Notice/Process Served:	03/31/2004
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/28/2006
Monetary Compensation Amount:	$55,000.00
Individual Contribution Amount:	$0.00
Broker Statement	MERRILL LYNCH ULTIMATELY SETTLED THIS MATTER TO AVOID THE COSTS AND VAGARIES OF ARBITRATION. MR. STAYMAN WAS NOT THE FINANCIAL ADVISOR OF RECORD FOR [CUSTOMER'S] ACCOUNTS AND WAS NEVER INVOLVED IN ANY INVESTMENT ACTIVITY IN THOSE ACCOUNTS.

Disclosure 4 of 6

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.
Allegations:	BREACH OF FIDUCIARY DUTY, UNAUTHORIZED TRADING.
Product Type:	Mutual Fund(s)
Alleged Damages:	$96,174.75

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #05-01370
Date Notice/Process Served:	03/14/2005
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	05/09/2006
Disposition Detail:	RESPONDENT IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF $16,912.87.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations:	THE CUSTOMER ALLEGES THE FA MADE UNAUTHORIZED TRANSACTIONS.THE CUSTOMER ALSO ALLEGES THE FA MADE UNSUITABLE INVESTMENTS.THE CUSTOMER ALLEGES UNSPECIFIED DAMAGES.
Product Type:	Other
Alleged Damages:	$96,174.75

Customer Complaint Information

Date Complaint Received:	08/19/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	04/08/2005
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD NO. 05-01370
Date Notice/Process Served:	04/08/2005
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	05/09/2006
Monetary Compensation Amount:	$16,912.87
Individual Contribution Amount:	$0.00

Disclosure 5 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CUSTOMER ALLEGES THAT HE NEVER AUTHORIZED THE REPURCHASE OF THE INTERNET EARNINGS DEFINED ASSET FUND.
Product Type:	Other
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	06/14/2001
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	12/28/2004
Settlement Amount:	

Individual Contribution Amount:

Broker Statement FINANCIAL ADVISOR (FA) DENIES THE ALLEGATION. FA MAINTAINS THAT THE CUSTOMER AUTHORIZED THE ROLLOVER OF THIS INVESTMENT. CUSTOMER WAS SENT A TRADE CONFIRMATION NOTICE REGARDING THIS TRANSACTION.. MOREOVER, CUSTOMER WAS SENT MONTHLY ACCOUNT STATEMENTS, WHICH DETAILED THE ACTIVITY AND THE HOLDINGS WITHIN THE CUSTOMER'S ACCOUNT. IN ADDITION, CUSTOMER WAITED MORE THAN FOUR MONTHS BEFORE QUESTIONING THIS PARTICULAR TRANSACTION.

AFTER REVIEWING THIS MATTER, THE FIRM DEEMED THE COMPLAINT TO BE WITHOUT ANY MERIT.

Disclosure 6 of 6

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: MISREPRESENTATION; OMISSION OF FACTS; SUITABILITY; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: $49,900.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #93-01744

Date Notice/Process Served: 05/19/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/23/1994

Disposition Detail: CASE IS CLOSED, SETTLED
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: THE CLAIMANTS ALLEGEDTHAT THEIR F/C MISREPRESENTATED LIMITED PARTNERSHIPS AND OTHER SECURITIES TO THEM. THEY CLAIM THESE INVESTMENTS WERE INCONSISTENT WITH THEIR INVESTMENT OBJECTIVES. THE CLAIMANT'S CLAIM $49,900.00 IN DAMAGES.

Product Type:

Alleged Damages: $49,900.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	National Association of Securities Dealers, Inc.; 93-01744
Date Notice/Process Served:	05/19/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/23/1994
Monetary Compensation Amount:	$11,000.00
Individual Contribution Amount:	
Broker Statement	SETTLED; $11,000 REGISTRANT WAS VOLUNTARILY DISMISSED FROM THE CASE. THE FIRM ELECTED TO SETTLETHIS MATTER TO AVOID THE COSTS AND UNCERTAINTIES OF LITIGATION. THE FIRM AND REGISTRANT CONTINUE TO DENY ANY WRONGDOING.

End of Report

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