



## IAPD Report

# JADA RUTH COLEMAN

CRD# 1499783

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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

### JADA RUTH COLEMAN (CRD# 1499783)

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 **10/29/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	03/15/2006
<b>IA</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	03/16/2006

### QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **42** 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
<b>B</b>	FIRST WALL STREET CORP.	13024	LA JOLLA, CA	10/18/2005 - 02/09/2006
<b>B</b>	MORGAN STANLEY DW INC.	7556	PURCHASE, NY	04/24/2002 - 10/14/2005
<b>B</b>	SANDS BROTHERS & CO., LTD.	26816	NEW YORK, NY	03/14/1996 - 11/23/2001

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?

**No**



## 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 **42** 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	05/13/2014
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/13/2014
B	Cboe Exchange, Inc.	General Securities Representative	Approved	03/15/2006
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	03/15/2006
B	FINRA	General Securities Representative	Approved	03/15/2006
B	FINRA	General Securities Sales Supervisor	Approved	03/15/2006
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	03/16/2006
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Arizona	Agent	Approved	05/29/2009
B	California	Agent	Approved	03/15/2006
IA	California	Investment Adviser Representative	Approved	03/16/2006



## Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	04/20/2010
B	Connecticut	Agent	Approved	08/21/2009
B	Delaware	Agent	Approved	12/12/2023
B	District of Columbia	Agent	Approved	09/11/2023
B	Florida	Agent	Approved	05/18/2009
B	Georgia	Agent	Approved	08/21/2009
B	Hawaii	Agent	Approved	05/14/2009
B	Idaho	Agent	Approved	03/01/2018
B	Illinois	Agent	Approved	08/21/2009
B	Indiana	Agent	Approved	06/04/2010
B	Kentucky	Agent	Approved	07/01/2025
B	Louisiana	Agent	Approved	10/21/2022
B	Maine	Agent	Approved	07/28/2020
B	Maryland	Agent	Approved	05/19/2009
B	Massachusetts	Agent	Approved	05/19/2009
B	Michigan	Agent	Approved	05/07/2010
B	Minnesota	Agent	Approved	05/13/2009
B	Missouri	Agent	Approved	04/20/2010
B	Montana	Agent	Approved	03/19/2018



## Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	05/15/2009
B	New Hampshire	Agent	Approved	04/17/2014
B	New Jersey	Agent	Approved	12/02/2020
B	New Mexico	Agent	Approved	04/20/2010
B	New York	Agent	Approved	05/14/2009
B	North Carolina	Agent	Approved	08/27/2009
B	Ohio	Agent	Approved	02/22/2024
B	Oklahoma	Agent	Approved	04/30/2010
B	Oregon	Agent	Approved	08/21/2009
B	Pennsylvania	Agent	Approved	05/14/2009
B	Rhode Island	Agent	Approved	09/02/2024
B	South Carolina	Agent	Approved	04/20/2010
B	Tennessee	Agent	Approved	06/16/2020
B	Texas	Agent	Approved	04/23/2010
IA	Texas	Investment Adviser Representative	Restricted Approval	04/20/2010
B	Utah	Agent	Approved	10/02/2017
B	Vermont	Agent	Approved	03/01/2023
B	Virgin Islands	Agent	Approved	04/20/2010



## Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	05/14/2009
B	Washington	Agent	Approved	05/13/2009
B	Wisconsin	Agent	Approved	03/02/2018
B	Wyoming	Agent	Approved	06/16/2020

## Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH  
INCORPORATED**  
7825 FAY AVE  
LA JOLLA, CA 92037



## 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, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	07/23/1999

#### General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/16/1988

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/12/2004
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/23/1997



### 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
B	10/18/2005 - 02/09/2006	FIRST WALL STREET CORP.	CRD# 13024	LA JOLLA, CA
B	04/24/2002 - 10/14/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	03/14/1996 - 11/23/2001	SANDS BROTHERS & CO., LTD.	CRD# 26816	NEW YORK, NY
B	04/23/1990 - 10/11/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	07/19/1988 - 04/27/1989	COWEN & CO.	CRD# 1541	

### 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
02/2006 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED : 7691	CLIENT ASSOCIATE	Y	LA JOLLA, CA, 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\*116841For profit or not for profit: For-Profit OrganizationName of outside business organization: Ascena Retail Group Inc.Investment related: NAddress of business:Mahwah, New Jersey 7430Nature of business: Corporation,Position, title, association: Part-Time, Start date of relationship: 8/22/2018Number of hours devoted: 45 hour(s) MonthlyNumber of hours devoted during trading hours: 0Duties: Ascena owns Ann Taylor and Loft, which are retail clothing stores.I will be applying for a part time position at both stores.I\*1468270For profit or not for profit: Name of outside business organization: Target CorporationInvestment related: NAddress of business: , , , Nature of business: Position, title, association: , Start date of relationship: Number of hours devoted: hour(s) Number of hours devoted during trading hours: Duties: , Part-time employee as a cashier. I was previously employed part-time for the past 4 years but, I quit in April 2023. I now need the additional income and need to re-apply.



## End of Report

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