



IAPD Report

REBECCA SUSAN ROTHSTEIN

CRD# 1666291

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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

REBECCA SUSAN ROTHSTEIN (CRD# 1666291)

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 **10/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	10/19/2012
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	10/19/2012

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **51** 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	MORGAN STANLEY	149777	BEVERLY HILLS, CA	06/01/2009 - 10/31/2012
IA	MORGAN STANLEY	149777	BEVERLY HILLS, CA	06/01/2009 - 10/31/2012
IA	CITIGROUP GLOBAL MARKETS INC.	7059	BEVERLY HILLS, CA	02/16/1999 - 06/01/2009

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	4



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 **51** 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	05/07/2014
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/07/2014
B	Cboe Exchange, Inc.	General Securities Representative	Approved	10/19/2012
B	FINRA	General Securities Representative	Approved	10/19/2012
B	Nasdaq Stock Market	General Securities Representative	Approved	10/19/2012
B	New York Stock Exchange	General Securities Representative	Approved	10/19/2012
B	Alabama	Agent	Approved	10/19/2012
B	Alaska	Agent	Approved	10/31/2012
B	Arizona	Agent	Approved	10/19/2012
B	Arkansas	Agent	Approved	10/19/2012
B	California	Agent	Approved	10/19/2012
IA	California	Investment Adviser Representative	Approved	10/19/2012
B	Colorado	Agent	Approved	10/19/2012



Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	10/19/2012
B	Delaware	Agent	Approved	10/19/2012
B	District of Columbia	Agent	Approved	10/19/2012
B	Florida	Agent	Approved	10/19/2012
B	Georgia	Agent	Approved	10/19/2012
B	Hawaii	Agent	Approved	10/19/2012
B	Idaho	Agent	Approved	10/22/2012
B	Illinois	Agent	Approved	10/19/2012
B	Indiana	Agent	Approved	11/02/2012
B	Iowa	Agent	Approved	10/26/2012
B	Kansas	Agent	Approved	10/19/2012
B	Kentucky	Agent	Approved	11/01/2012
B	Louisiana	Agent	Approved	10/19/2012
B	Maine	Agent	Approved	10/24/2012
B	Maryland	Agent	Approved	10/19/2012
B	Massachusetts	Agent	Approved	10/19/2012
B	Michigan	Agent	Approved	10/19/2012
B	Minnesota	Agent	Approved	10/19/2012
B	Mississippi	Agent	Approved	10/19/2012



Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	11/14/2014
B	Montana	Agent	Approved	10/22/2012
B	Nebraska	Agent	Approved	11/01/2012
B	Nevada	Agent	Approved	11/01/2012
IA	Nevada	Investment Adviser Representative	Approved	11/20/2020
B	New Hampshire	Agent	Approved	11/08/2012
B	New Jersey	Agent	Approved	10/19/2012
B	New Mexico	Agent	Approved	10/19/2012
B	New York	Agent	Approved	10/19/2012
B	North Carolina	Agent	Approved	10/19/2012
B	North Dakota	Agent	Approved	11/08/2012
B	Ohio	Agent	Approved	10/19/2012
B	Oklahoma	Agent	Approved	10/23/2012
B	Oregon	Agent	Approved	10/22/2012
B	Pennsylvania	Agent	Approved	10/19/2012
B	Puerto Rico	Agent	Approved	10/19/2012
B	Rhode Island	Agent	Approved	10/19/2012
B	South Carolina	Agent	Approved	10/22/2012



Qualifications

	Regulator	Registration	Status	Date
B	South Dakota	Agent	Approved	10/19/2012
B	Tennessee	Agent	Approved	10/19/2012
B	Texas	Agent	Approved	10/19/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	10/23/2012
B	Utah	Agent	Approved	10/19/2012
B	Virginia	Agent	Approved	10/19/2012
B	Washington	Agent	Approved	10/22/2012
B	West Virginia	Agent	Approved	10/19/2012
B	Wisconsin	Agent	Approved	10/19/2012
B	Wyoming	Agent	Approved	10/19/2012

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
Incline Village, NV

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
9595 WILSHIRE BLVD
PBIG - BEVERLY HILLS
BEVERLY HILLS, CA 90212

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
900 TAHOE BLVD
PBIG - INCLINE VILLAGE PW
INCLINE VILLAGE, NV 89451



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, 3 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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B National Commodity Futures Examination (S3)	Series 3	11/07/1988
B General Securities Representative Examination (S7)	Series 7	05/16/1987

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/20/1997
B Uniform Securities Agent State Law Examination (S63)	Series 63	01/26/1988



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	06/01/2009 - 10/31/2012	MORGAN STANLEY	CRD# 149777	BEVERLY HILLS, CA
IA	06/01/2009 - 10/31/2012	MORGAN STANLEY	CRD# 149777	BEVERLY HILLS, CA
IA	02/16/1999 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	BEVERLY HILLS, CA
B	01/15/1999 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	BEVERLY HILLS, CA
B	09/01/1997 - 01/27/1999	BT ALEX. BROWN INCORPORATED	CRD# 17790	BALTIMORE, MD
B	10/11/1992 - 09/01/1997	ALEX. BROWN & SONS INCORPORATED	CRD# 20	
B	01/04/1988 - 10/09/1992	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	07/15/1987 - 01/04/1988	TOLUCA PACIFIC SECURITIES CORP.	CRD# 13875	
B	05/21/1987 - 08/06/1987	BARABAN SECURITIES, INC.	CRD# 7659	

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
10/2012 - Present	BANK OF AMERICA, N.A.	FINANCIAL ADVISOR	Y	BEVERLY HILLS, CA, United States
10/2012 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	BEVERLY HILLS, 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*74704For profit or not for profit: For-Profit OrganizationName of outside business organization: JEDS 44 LLCInvestment related: NAddress of business:Beverly Hills, California 90210Nature of business: LLC,Compensation for Activity: YPosition, title,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

association: Other, N/A Start date of relationship: 8/11/2014 Number of hours devoted: 0 hour(s) Annually Number of hours devoted during trading hours: 0 Duties: Created an LLC for Estate Planning, purchased a building in the name of the LLC and the building is owned by the LLC and pays rent to the LLC

I*119973 For profit or not for profit: Non-Profit Organization Name of outside business organization: Teen Cancer America Investment related: N Address of business: Los Angeles, California 90064 Nature of business: Charitable Organization, Position, title, association: Advisory Board Member, Start date of relationship: 11/1/2010 Number of hours devoted: 5 hour(s) Monthly Number of hours devoted during trading hours: 0 Duties: Board Chair

I*138208 For profit or not for profit: For-Profit Organization Name of outside business organization: UCLA Medical Center Board of Advisors Investment related: N Address of business: Pasadena, California 91109 Nature of business: Corporation, Compensation for Activity: N Position, title, association: Advisory Board Member, Start date of relationship: 5/26/2021 Number of hours devoted: 5 hour(s) Quarterly Number of hours devoted during trading hours: 0 Duties: Advisory Board Member I*697287 For profit or not for profit: Entity For Profit Name of outside business organization: JEDS2 LLC Investment related: Y Address of business: Incline Village, Nevada, 89451 Nature of business: ["Limited Liability Company"] Position, title, association: ["Owner"], Start date of relationship: 2/1/2022 Number of hours devoted: 2 hour(s) Monthly Number of hours devoted during trading hours: 0 Duties: , LLC is purchasing home to rent

I*1166320 For profit or not for profit: Entity For Profit Name of outside business organization: JEDSNEV1 LLC Investment related: N Address of business: Reno, Nevada, 89511 Nature of business: ["Limited Liability Company"] Position, title, association: ["General Partner/Managing Member"], Start date of relationship: 2/17/2023 Number of hours devoted: 0 hour(s) Yearly Number of hours devoted during trading hours: 0 Duties: , Rental property LLC is to collect rent 100% family owned.

I*475986 For profit or not for profit: Entity Governmental Name of outside business organization: UCLA Early Childhood Partial Hosp Prog (ECPHP) Investment related: N Address of business: Los Angeles, California, 90095, United States Nature of business: ["Hospital or Healthcare System"] Position, title, association: ["Committee", "Board Member"], ["Fundraising committee"] Start date of relationship: 2/1/2013 Number of hours devoted: 10 hour(s) Monthly Number of hours devoted during trading hours: 0 Duties: , Board Member

I*1855284, Entity Type Entity For Profit, Name of OBA: JEDSNEV1 LLC Address: Incline village Nevada 89451 Investment Related: No Position, Title, Association: Owner Employee Start Date: 05/28/2024 No Hours: 1 monthly No Hours during trading: 0 Duties: LLC for home rental in reno, nv

I*1075267, Entity Type: PA, Name of OBA: No Labels Nevada, Address: Washington DC, District of Columbia, 20036, Investment Related: N, Position, Title, Association: Chair, Employee State Date: 15-Nov-2022, No Hours: 1 Monthly, No Hours during Trading: 0 Monthly, Duties:



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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY INC.
Allegations:	THE FINANCIAL AND INVESTMENT ADVISOR OF THIS CLIENT ALLEGES UNSUITABLE INVESTMENTS AND FAILURE TO FOLLOW INSTRUCTIONS IN THE TRUST'S MANAGED PORTFOLIO. DAMAGES UNSPECIFIED.
Product Type:	Other
Other Product Type(s):	MANAGED (IN-HOUSE)
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	06/18/2003
Complaint Pending?	No
Status:	Denied
Status Date:	11/18/2004
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	"DRP FILED SIGNATURE DEFICIENT".

Disclosure 2 of 4



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: THE CLIENT ALLEGED UNSUITABILITY WITH REGARD TO MUTUAL FUNDS. 2000. ALLEGED DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/10/2002

Complaint Pending? No

Status: Denied

Status Date: 10/31/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: THE CLIENT ALLEGED UNSUITABILITY WITH REGARD TO THE PURCHASES OF MUTUAL FUNDS. FEBRUARY 2000. ALLEGED DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 01/17/2002

Complaint Pending? No

Status: Settled

Status Date: 06/12/2002

Settlement Amount: \$5,000.00

Individual Contribution Amount: \$5,000.00

Broker Statement THE CLAIM WAS SETTLED FOR \$5,000.

Disclosure 4 of 4

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

SALOMON SMITH BARNEY

Allegations:

CLIENT ALLEGED BREACH OF FIDUCIARY DUTY. ALLEGED DAMAGES UNSPECIFIED. (1999 - 2000)

Product Type:

Equity - OTC

Other Product Type(s):

EQUITY - LISTED

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

04/13/2000

Complaint Pending?

No

Status:

Denied

Status Date:

07/13/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE CLIENT'S CLAIM WAS DENIED.



End of Report

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