



IAPD Report

ROBERT JOSEPH BLOMMEL

CRD# 1770501

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7



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

ROBERT JOSEPH BLOMMEL (CRD# 1770501)

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 **02/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	12/10/2018
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	12/10/2018

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **32** 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	SANCTUARY ADVISORS, LLC	226606	Maimisburg, OH	12/06/2018 - 12/14/2018
B	DAVID A. NOYES & COMPANY	205	Miamisburg, OH	12/06/2018 - 12/10/2018
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MIAMISBURG, OH	06/28/1999 - 12/07/2018

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 **32** 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	12/10/2018
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	12/10/2018
B	Cboe Exchange, Inc.	General Securities Representative	Approved	12/10/2018
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	12/10/2018
B	FINRA	General Securities Representative	Approved	12/10/2018
B	FINRA	General Securities Sales Supervisor	Approved	12/10/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	12/10/2018
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	12/10/2018
B	New York Stock Exchange	General Securities Representative	Approved	12/10/2018
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	12/10/2018
B	Alabama	Agent	Approved	05/19/2020
B	Arizona	Agent	Approved	01/14/2019
B	Arkansas	Agent	Approved	01/14/2019



Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	01/09/2019
B	Connecticut	Agent	Approved	04/01/2024
B	Florida	Agent	Approved	12/10/2018
B	Georgia	Agent	Approved	12/10/2018
B	Illinois	Agent	Approved	12/10/2018
B	Indiana	Agent	Approved	01/14/2019
B	Kentucky	Agent	Approved	12/10/2018
B	Louisiana	Agent	Approved	05/01/2020
B	Maryland	Agent	Approved	06/18/2024
B	Massachusetts	Agent	Approved	12/10/2018
B	Michigan	Agent	Approved	12/10/2018
B	Minnesota	Agent	Approved	01/11/2019
B	Missouri	Agent	Approved	09/14/2023
B	Montana	Agent	Approved	01/14/2019
B	New Hampshire	Agent	Approved	06/18/2024
B	New York	Agent	Approved	12/10/2018
B	North Carolina	Agent	Approved	12/10/2018
B	Ohio	Agent	Approved	12/10/2018
IA	Ohio	Investment Adviser Representative	Approved	12/10/2018



Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	01/14/2019
B	Oregon	Agent	Approved	12/19/2024
B	Pennsylvania	Agent	Approved	02/04/2019
B	Rhode Island	Agent	Approved	01/14/2019
B	South Carolina	Agent	Approved	12/13/2018
B	Tennessee	Agent	Approved	02/04/2019
B	Texas	Agent	Approved	12/10/2018
IA	Texas	Investment Adviser Representative	Approved	12/10/2018
B	Utah	Agent	Approved	12/10/2018
B	Virginia	Agent	Approved	12/10/2018
B	Washington	Agent	Approved	12/10/2018
B	Wisconsin	Agent	Approved	12/19/2024

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

10100 INNOVATION DR
MIAMISBURG, OH 45342





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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	02/28/2007
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	12/01/2006

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	12/21/2010
	Futures Managed Funds Examination (S31)	Series 31	11/06/2004
	General Securities Representative Examination (S7)	Series 7	04/25/1994

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/13/1996
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/02/1994

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	12/06/2018 - 12/14/2018	SANCTUARY ADVISORS, LLC	CRD# 226606	Maimisburg, OH
B	12/06/2018 - 12/10/2018	DAVID A. NOYES & COMPANY	CRD# 205	Miamisburg, OH
IA	06/28/1999 - 12/07/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	MIAMISBURG, OH
B	07/24/1995 - 12/07/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	MIAMISBURG, OH
B	04/27/1994 - 08/15/1995	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	05/18/1988 - 08/16/1989	BANC ONE BROKERAGE CORPORATION	CRD# 16999	CHICAGO, IL

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
01/2019 - Present	BANK OF AMERICA, N.A.	Wealth Management Advisor	Y	MIAMISBURG, OH, United States
12/2018 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Wealth Management Advisor	Y	MIAMISBURG, OH, United States
12/2018 - 12/2018	D A. NOYES & COMPANY	FINANCIAL ADVISOR	Y	Maimisburg, OH, United States
12/2009 - 12/2018	BANK OF AMERICA,N.A.	SENIOR FINANCIAL ADVISOR	Y	DAYTON, OH, United States
07/1995 - 12/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SENIOR FINANCIAL ADVISOR	Y	DAYTON, OH, 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*2180281, Entity Type: Entity Charitable, Name of OBA: Miami Valley Child Development Corporation, Address: Dayton, Ohio,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

45402, Investment Related: N, Position, Title, Association: Committee, Employee State Date: 04/21/2025, No Hours: 10 Yearly, No Hours during Trading: 10 Yearly, Duties: The entity is responsible for the Head Start educational programs in Montgomery Count Ohio. My role would be a finance committee member to help review financial performance versus budget, review budgets and plans for any new locations to be built or acquired and make recommendations to the board as needed for the approval of building projects, budgets and related items.



End of Report

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