IAPD Report

Bradley B Dean

CRD# 1845729

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

Bradley B Dean (CRD# 1845729)

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 **06/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	07/20/1988
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	04/05/1994

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **23** 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	2

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 **23** 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	05/09/2014
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/09/2014
B	Cboe Exchange, Inc.	General Securities Representative	Approved	03/03/1991
B	FINRA	General Securities Representative	Approved	07/20/1988
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	07/20/1988
B	Alabama	Agent	Approved	09/08/2021
B	California	Agent	Approved	04/16/1991
B	Colorado	Agent	Approved	06/24/2010
B	Delaware	Agent	Approved	01/23/2025
B	District of Columbia	Agent	Approved	01/25/1989
IA	District of Columbia	Investment Adviser Representative	Approved	07/10/2002
B	Florida	Agent	Approved	03/07/1996

Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	11/06/2025
B	Illinois	Agent	Approved	04/17/1996
B	Indiana	Agent	Approved	04/24/2023
B	Iowa	Agent	Approved	07/08/2025
B	Kentucky	Agent	Approved	02/24/2025
B	Louisiana	Agent	Approved	04/28/2026
B	Maryland	Agent	Approved	07/20/1988
IA	Maryland	Investment Adviser Representative	Approved	06/12/2002
B	Michigan	Agent	Approved	05/12/2023
B	Minnesota	Agent	Approved	04/24/2023
B	Nevada	Agent	Approved	04/22/1996
B	New York	Agent	Approved	01/26/1995
B	North Carolina	Agent	Approved	08/12/1998
B	Oregon	Agent	Approved	04/20/2015
B	Pennsylvania	Agent	Approved	06/14/1996
B	Texas	Agent	Approved	10/10/1995
IA	Texas	Investment Adviser Representative	Restricted Approval	10/10/1995
B	Virginia	Agent	Approved	01/13/1989

Qualifications

	Regulator	Registration	Status	Date
IA	Virginia	Investment Adviser Representative	Approved	04/05/1994
B	Washington	Agent	Approved	01/09/2009

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
ALDIE, VA

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
3 S KING ST
LEESBURG, VA 20175

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	10/28/2003
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	03/03/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/04/1988

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:

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
07/2011 - Present	Bank of America, N.A.	#N/A	Y	ALEXANDRIA, VA, United States
09/1986 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	WEALTH MANAGEMENT ADVISOR	Y	ALEXANDRIA, VA, 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*:3865 Entity Type: For-Profit Name: Ultimate Technology, LLC Investment related: No Address: Dulles, VA Advisory Board Member, Start date: 6/1/2009 hours: 4 hrs Mthly trading hours: 0 Duties: Founding member, tax filing complianceI*: 342048 Entity Type: For Profit Name: Ultimate Technology, LLC Investment related: No Address: Dulles, VA Committee, Owner Start: 07/01/2009 hours: 4 mthly trading hrs: 0 Duties: As founders, my wife and I hold a 42% member interest in the LLC. is LLC Manager with significant responsibilities, and my brother is Managing Member. My role is to serve on the Advisory (Executive) CommitteeI*69442 Entity Type: For-Profit Name: Wheels Onsite USA, Inc. Investment related: No Address: Sterling, VA 20166 Nature of business: Mobile Wheel Reconditioning Service 10+ States ,Position, title, association: Advisory Board Member, Start date of relationship: 9/30/2010 Number of hours devoted: 4 hours Monthly Number of hours devoted during trading hours: 1hr Duties: Founder and 44% shareholder of family businessI*:1547301 Entity Type: For Profit Name: Raviton, LLC Investment related: No Address: Sterling, VA Owner Start date: 10/31/2023 hours: 1 mthly, trading hours: 0 Duties: Estate and Tax Planning entity (LLC) formed for the ownership and management of rental real estate and consolidation long approved family business interests (WheelsOnsite USA, Inc. & Ultimate Technology, LLC). The majority LLC interest to be owned by the B. D. Living Trusts u/a 8/18/2003 with B. D. as grantors. The minority LLC interest will be a new IRRV trust for the benefit of the five children of B. D.. Gifting of LLC interest is expected to occur over time to reduce the Dean's taxable estate. Dean is the Manager of the LLC. Bradley D.'s Living Trust is a member of the LLC, his responsibilities are unchanged from his currently approved AIM & outside business activities.I* 477536 Entity Type: For Profit Name: WheelsOnsite USA, Inc. Investment related: No Address: Sterling, VA, 20166 Position, title, association: Committee Start date of relationship: 09/30/2010 Number of hours devoted: 4 mthly Hours devoted during trading hours: 1 hr Duties: Duties: For profit family business Founding shareholder and member of Advisory Board (uncompensated)I*1767405, Entity Type: For Profit, Name: Relation Lighting Agency, LLC Address: Sterling, VA 20166 Investment Related: No Position, Title, Association: Owner Employee Start Date: No Hours: 1 Monthly No Hours during trading:0 Duties: Relation Lighting Agency, LLC ("RLA") is a family business with the purpose of being a manufacturer sales representative agency for production lighting and equipment sales, primarily to the arts and entertainment industry. RLA conducts sales in the western region of the US, with exclusive representation in the states of CA, NV and HI.I*:2620266Entity Type: For Profit Name: Ultimate Production Property LLC Address: Sterling, VA 20166Investment Related: No Position, Title, Association: Owner Employee Start Date: 07/18/2025Number of Hours: 2 hrs mthly Hours during trading: 0 Duties: A special purpose entity is to be formed with the objective of purchasing a qualified production property (QPP) to then lease both office and industrial

Registration & Employment History

OTHER BUSINESS ACTIVITIES

manufacturing space to two existing D. family business: WheelsOnsite USA, Inc. and Ultimate Technology, LLC Member capital and if my ownership exceeds I*3070301 Entity Type: Fiduciary role Name of OBA: B & A D Living Trust Address: Aldie, VA Investment: No Association: Trustee Start Date: 11/3/25 Hours: 10, Yearly Hours during trading: 0 Duties: Self, Spouse
I*4661273
Name: MR B B D TTEE MRS A L D TTEE U/A DTD 08/18/2003
Address: Aldie, VA
Investment: No
Association: Co-Trustee
Start Date: 08/18/2003
Hours: 0, Yearly
Hours during trading: 0, Yearly
Duties: Self, Spouse

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	2

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 2

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THAT THE FINANCIAL ADVISOR MADE MISREPRESENTATIONS.

Product Type: Other

Alleged Damages: $55,000.00

Customer Complaint Information

Date Complaint Received: 12/08/2008

Complaint Pending? No

Status: Denied

Status Date: 04/20/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLAIM HAS BEEN DENIED AND IS BELIEVED TO BE WITHOUT MERIT.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CUSTOMER ALLEGED THAT MR DEAN FAILED TO FOLLOW INSTRUCTIONS RELATED TO BUY AND SELL ORDERS AND MADE INAPPROPRIATE INVESTMENTS. NO SPECIFIC DAMAGES WERE CLAIMED. THIS OCCURED AT MERRILL LYNCH.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	05/21/1999
Complaint Pending?	No
Status:	Denied
Status Date:	06/08/1999
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	MERRILL LYNCH FOUND CUSTOMER'S CLAIM TO BE WITHOUT MERIT. MR DEAN NEVER REFUSED TO ENTER ORDERS FOR THE CUSTOMER. IN ADDITION, ALL INVESTMENTS WERE SUITABLE IN ACCORDANCE WITH CUSTOMER'S MODERATE RISK TOLERANCE.

End of Report

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