User Guidance

www.adviserinfo.sec.gov

IAPD Report

Stephen J Hollomon

CRD# 2562020

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

Stephen J Hollomon (CRD# 2562020)

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 **03/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	12/02/1994
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	01/25/1995

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **53** 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	3

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 **53** 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	12/02/1994
B	FINRA	General Securities Representative	Approved	12/02/1994
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	01/09/1995
B	Alabama	Agent	Approved	09/27/2021
B	Alaska	Agent	Approved	01/03/1996
B	Arizona	Agent	Approved	01/09/1998
B	Arkansas	Agent	Approved	10/29/2021
B	California	Agent	Approved	01/03/1996
B	Colorado	Agent	Approved	09/03/1997
B	Connecticut	Agent	Approved	03/27/2003

Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	09/29/2021
B	District of Columbia	Agent	Approved	05/15/2019
B	Florida	Agent	Approved	01/28/2009
B	Georgia	Agent	Approved	01/25/2012
B	Hawaii	Agent	Approved	08/07/2000
B	Idaho	Agent	Approved	02/01/2011
B	Illinois	Agent	Approved	09/05/2007
B	Indiana	Agent	Approved	09/28/2021
B	Iowa	Agent	Approved	09/30/2021
B	Kansas	Agent	Approved	09/27/2021
B	Kentucky	Agent	Approved	09/23/2021
B	Louisiana	Agent	Approved	09/27/2021
B	Maine	Agent	Approved	10/02/2015
B	Maryland	Agent	Approved	01/22/2013
B	Massachusetts	Agent	Approved	01/16/2004
B	Michigan	Agent	Approved	05/17/2016
B	Minnesota	Agent	Approved	05/12/2020
B	Mississippi	Agent	Approved	10/01/2021
B	Missouri	Agent	Approved	09/27/2021

Qualifications

	Regulator	Registration	Status	Date
B	Montana	Agent	Approved	11/25/2009
B	Nebraska	Agent	Approved	09/28/2021
B	Nevada	Agent	Approved	04/15/1996
B	New Hampshire	Agent	Approved	04/07/2014
B	New Jersey	Agent	Approved	10/21/1997
B	New Mexico	Agent	Approved	09/27/2021
B	New York	Agent	Approved	02/02/1999
B	North Carolina	Agent	Approved	04/19/2010
B	North Dakota	Agent	Approved	09/28/2021
B	Ohio	Agent	Approved	09/25/2021
B	Oklahoma	Agent	Approved	09/27/2021
B	Oregon	Agent	Approved	02/21/1996
B	Pennsylvania	Agent	Approved	01/10/2007
B	Puerto Rico	Agent	Approved	09/27/2021
B	Rhode Island	Agent	Approved	09/30/2021
B	South Carolina	Agent	Approved	02/03/2011
B	South Dakota	Agent	Approved	11/08/2019
B	Tennessee	Agent	Approved	05/16/2016
B	Texas	Agent	Approved	01/09/1996

Qualifications

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	01/09/1996
B	Utah	Agent	Approved	08/26/2009
B	Vermont	Agent	Approved	09/24/2021
B	Virgin Islands	Agent	Approved	09/29/2021
B	Virginia	Agent	Approved	06/07/2000
B	Washington	Agent	Approved	12/02/1994
IA	Washington	Investment Adviser Representative	Approved	01/25/1995
B	West Virginia	Agent	Approved	10/19/2021
B	Wisconsin	Agent	Approved	09/29/2021
B	Wyoming	Agent	Approved	02/01/2011

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
401 UNION ST
SEATTLE, WA 98101

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, 2 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	General Securities Representative Examination (S7)	Series 7	11/16/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/08/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/30/1994

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
06/2011 - Present	Bank of America, N.A.	Wealth Management Advisor	Y	SEATTLE, WA, United States
09/1994 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	NOT PROVIDED	Y	SEATTLE, WA, 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*24997 FOR-PROFIT NAME: H. INVESTMENTS LLC INVSTMNT RLTD: YES ADDRESS: SEATTLE, WA 98105 POSITION: FAMILY HELD, START DATE: 10/1/03 HOURS DEVOTED: 5 HRS MTHLY HOURS DEVOTED DURING TRADING: 0 DUTIES: CO-MANAGER, MY COUSIN AND I MAKE DISTRIBUTION AND INVESTMENT DECISIONS.
I*135302 For-Profit Name: Continenal MIlls Investment related: No Address: Tukwila, WA 98188 Position: Committee Member Start date: 1/21/21 Hours devoted: 3 Annually Hours devoted during trading hours: 0 Duties: I am on the board already. I have been asked to join the governance and compensation committees and to chair the governance committee.
I*25000 FOR-PROFIT NAME: H. FAMILY LLC INVSTMNT RLTD: NO ADDRESS: SEATTLE, WA 98112 POSITION: LIMITED PARTNER START DATE: HOURS DEVOTED: 1 HR ANNUALLY HOURS DEVOTED DURING TRADING HOURS: 1 DUTIES: LTD.PARTNER
I*132385 For-Profit Organization Name: GoLo 44, LLC Investment related: No Address: Seattle, WA 98105 Position: Family Held, Start date: 7/1/20 Hours devoted: 1 hr Annually Hours devoted during trading: 0 Duties: Estate planning LLC. My wife and I own 5% and my kids own 95%. Just public investments, at least for now.
I*132384 For-Profit Organization Name: Box Car Chutes LLC Investment related: No Address: Seattle, WA 98105 Position: Family Held, Start date of relationship: 7/1/20 Hours devoted: 1 hr Annually Hours devoted during trading: 0 Duties: Estate planning LLC. My wife and I own 5% and my kids own 95%. Just public investments, at least for now.
I*68075 For-Profit Organization Name: Continental Mills Investment related: No Address: Tukwila, WA 98188 Position: Director Start date: 6/17/2013 Hours devoted: 2 hrs Qrtly Hours devoted during trading: 1 hr Duties: Family business. Mom & uncle want me on the board
I*1333301 Not For profit Name: Seattle Golf Club Investment related: No Address of business: Position: Committee member Start date of relationship: Number of hours devoted: ho) Number of hrs devoted during trading: Duties: Foundation Committee for the Seattle Golf Club. The board gives recommendations of how to spend the club's Foundation account and we approve or decline. Examples of requests include new flowers, new tee markers and new sprinkler heads
I*2506279, Entity Type: Fiduciary role Name: Estate of T H, Address: Seattle, WA 98105, Investment Related: No, Position: Executor, Employee State Date: 06/02/25, No Hours: 20 Yearly, No Hours during Trading: 10 Yearly, Duties: Executor
I*3322273, Entity Type: , Name of OBA: H Family Living Trust, Address: Seattle, WA 98105, Investment Related: N, Position, Title, Association: Trustee, Employee Start Date: 12/18/2025, No Hours: 1 Monthly, No Hours during Trading: 0 Monthly, Duties:

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Trustee
I*3996268Entity Type: Fiduciary roleName of OBA: J. P H. Marital Trust Address: Seattle, WA 98105Investment Related: NoPosition: Co-Trustee Start Date: 03/16/2026
Hours: 1, Yearly Hours during trading: 0 Duties: Co-Trustee/Siblings
I*3996267Entity Type: For Profit Name of OBA: H. Limited Partnership Address: Seattle, WA 98105 Investment Related: No Position: General Partner/Managing MemberEmployee Start Date: 03/16/2026 Number of Hours: 2, YearlyNumber of Hours during trading: 0, Yearly Duties: Family investments Managing Partner. I am my Mom's executor. She was the managing partner. We need to transfer her interest to my siblings and me. The attorney recommended I be the managing partner for now and then to have a family vote after her ownership interest is transferred.

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	3

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 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.
Allegations:	UNSUITABILITY, FRAUD, DECEIT, OMISSION OF MATERIAL FACT, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY
Product Type:	Other
Other Product Type(s):	UNSPECIFIED TYPE OF SECURITIES
Alleged Damages:	$572,107.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #02-01478
Date Notice/Process Served:	03/11/2002
Arbitration Pending?	No
Disposition:	Denied
Disposition Date:	03/24/2004
Disposition Detail:	ALL OTHER RELIEF REQUESTED AND NOT EXPRESSLY GRANTED IS DENIED.

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CUSTOMER CONTENDS THAT FA MISADVISED HER WITH RESPECT TO EXERCISE OF HER EMPLOYEE STOCK OPTIONS IN MICROSOFT.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$625,413.00

Customer Complaint Information

Date Complaint Received:	03/26/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	03/26/2002
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 02-01478
Date Notice/Process Served:	03/26/2002
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	03/23/2004
Monetary Compensation Amount:	$207,066.00
Individual Contribution Amount:	$0.00
Broker Statement	AWARD OF $206, 691 TO CUSTOMER PLUS $375 REIMBURSEMENT FOR FILING FEES.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	IT IS ALLEGED THAT THE CUSTOMER DID NOT AUTHORIZE PURCHASES ON MARGIN. NO DAMAGES SPECIFIED.
Product Type:	Equity - OTC
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	02/22/2002
Complaint Pending?	No

Status:	Denied
Status Date:	05/28/2002
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	MERRILL LYNCH AND THE FINANCIAL ADVISOR DENY THE ALLEGATIONS. THE CUSTOMER WAS AWARE OF AND APPROVED ALL OF THE TRANSACTIONS IN QUESTION. THE CUSTOME WAS WELL AWARE OF HIS MARGIN BALANCE AND APPROVED HIS MARGIN BALANCE. THE ALLEGATIONS ARE WITHOUT MERIT.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CUSTOMER ALLEGED THAT AN ADMINISTRATIVE ERROR WAS INCORRECTLY ADJUSTED AND THAT THE FINANCIAL ADVISOR MISINTERPRETED THE CLIENT'S RISK TOLERANCE.
Product Type:	Equity - OTC
Other Product Type(s):	EQUITY-LISTED
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	03/21/2001
Complaint Pending?	No
Status:	Settled
Status Date:	05/02/2001
Settlement Amount:	$102,481.61
Individual Contribution Amount:	$31,000.00
Broker Statement	CUSTOMER WAS COMPENSATED FOR AN INCORRECT ADJUSTMENT. THE INVESTMENTS WERE APPROPRIATE FOR THE CUSTOMER.

End of Report

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