



IAPD Report

Corrie Dore Evangeliou

CRD# 2573725

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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

Corrie Dore Evangeliou (CRD# 2573725)

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 **07/06/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	08/29/2017
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	08/29/2017

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
IA	CITIZENS SECURITIES, INC.	39550	PROVIDENCE, RI	05/20/2016 - 12/08/2016
B	CITIZENS SECURITIES, INC.	39550	PROVIDENCE, RI	01/08/2016 - 12/08/2016
B	MML INVESTORS SERVICES, LLC	10409	WARWICK, RI	09/15/2014 - 12/31/2014

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
Termination	1



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 Principal	Approved	08/29/2017
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	08/29/2017
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	08/29/2017
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	08/29/2017
B Cboe Exchange, Inc.	General Securities Representative	Approved	08/29/2017
B Cboe Exchange, Inc.	General Securities Principal	Approved	07/06/2021
B FINRA	General Securities Principal	Approved	08/29/2017
B FINRA	General Securities Representative	Approved	08/29/2017
B Nasdaq Stock Market	General Securities Principal	Approved	08/29/2017
B Nasdaq Stock Market	General Securities Representative	Approved	08/29/2017
B New York Stock Exchange	General Securities Principal	Approved	08/29/2017
B New York Stock Exchange	General Securities Representative	Approved	08/29/2017
B Alabama	Agent	Approved	09/13/2017



Qualifications

Regulator	Registration	Status	Date
B Alaska	Agent	Approved	08/31/2017
B Arizona	Agent	Approved	08/31/2017
B Arkansas	Agent	Approved	08/30/2017
B California	Agent	Approved	08/31/2017
B Colorado	Agent	Approved	09/01/2017
B Connecticut	Agent	Approved	08/31/2017
B Delaware	Agent	Approved	08/31/2017
B District of Columbia	Agent	Approved	08/31/2017
B Florida	Agent	Approved	08/31/2017
B Georgia	Agent	Approved	08/31/2017
B Hawaii	Agent	Approved	09/20/2017
B Idaho	Agent	Approved	08/30/2017
B Illinois	Agent	Approved	08/31/2017
B Indiana	Agent	Approved	08/31/2017
B Iowa	Agent	Approved	08/31/2017
B Kansas	Agent	Approved	09/06/2017
B Kentucky	Agent	Approved	08/31/2017
B Louisiana	Agent	Approved	12/11/2017
B Maine	Agent	Approved	08/31/2017



Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	08/31/2017
B	Massachusetts	Agent	Approved	08/31/2017
B	Michigan	Agent	Approved	09/01/2017
B	Minnesota	Agent	Approved	08/30/2017
B	Mississippi	Agent	Approved	08/31/2017
B	Missouri	Agent	Approved	09/11/2017
B	Montana	Agent	Approved	09/15/2017
B	Nebraska	Agent	Approved	08/31/2017
B	Nevada	Agent	Approved	09/14/2017
B	New Hampshire	Agent	Approved	09/01/2017
B	New Jersey	Agent	Approved	08/29/2017
IA	New Jersey	Investment Adviser Representative	Approved	08/29/2017
B	New Mexico	Agent	Approved	08/31/2017
B	New York	Agent	Approved	08/31/2017
B	North Carolina	Agent	Approved	09/06/2017
B	North Dakota	Agent	Approved	08/31/2017
B	Ohio	Agent	Approved	08/31/2017
B	Oklahoma	Agent	Approved	09/05/2017
B	Oregon	Agent	Approved	09/18/2017



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	08/31/2017
B Rhode Island	Agent	Approved	08/31/2017
B South Carolina	Agent	Approved	09/11/2017
B South Dakota	Agent	Approved	09/05/2017
B Tennessee	Agent	Approved	08/31/2017
B Texas	Agent	Approved	08/31/2017
IA Texas	Investment Adviser Representative	Restricted Approval	09/13/2017
B Utah	Agent	Approved	09/19/2017
B Vermont	Agent	Approved	08/31/2017
B Virginia	Agent	Approved	09/06/2017
B Washington	Agent	Approved	11/02/2017
B West Virginia	Agent	Approved	09/06/2017
B Wisconsin	Agent	Approved	09/01/2017
B Wyoming	Agent	Approved	09/11/2017

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
1100-1800 AMERICAN BLVD
RETIREMENT & PERSONAL WEALTH SOLUTIONS
PENNINGTON, NJ 08534




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	11/17/1997

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	04/28/1995

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/19/2016
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/14/1996

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	05/20/2016 - 12/08/2016	CITIZENS SECURITIES, INC.	CRD# 39550	PROVIDENCE, RI
B	01/08/2016 - 12/08/2016	CITIZENS SECURITIES, INC.	CRD# 39550	PROVIDENCE, RI
B	09/15/2014 - 12/31/2014	MML INVESTORS SERVICES, LLC	CRD# 10409	WARWICK, RI
B	10/02/2003 - 04/30/2014	FIDELITY INVESTMENTS INSTITUTIONAL SERVICES COMPANY, INC.	CRD# 17507	SMITHFIELD, RI
B	02/20/2001 - 05/07/2003	PFPC DISTRIBUTORS, INC.	CRD# 31334	PORTLAND, ME
B	10/10/1996 - 10/07/1999	CIGNA FINANCIAL SERVICES, INC.	CRD# 40596	HARTFORD, CT
B	05/01/1995 - 10/04/1996	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY

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
08/2017 - Present	Merrill Lynch Pierce Fenner & Smith	Retirement Plans Sales Desk Specialist	Y	Pennington, NJ, United States
12/2016 - 08/2017	Unemployment	Unemployed	N	Lumberton, NJ, United States
11/2015 - 12/2016	Citizens Bank	Licensed Banker	Y	Providence, RI, United States
11/2015 - 12/2016	Citizens Securities, Inc.	Licensed Banker	Y	Providence, RI, 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*108119

For profit or not for profit: For-Profit Organization



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Name of outside business organization: Juice Plus Distributor

Investment related: N

Address of business:

Lumberton, New Jersey 08048

Nature of business: Sole Proprietorship,

Position, title, association: Other, AVP Individual Contributor

Start date of relationship: 8/25/2014

Number of hours devoted: 10 hour(s) Monthly

Number of hours devoted during trading hours: 0

Duties: Juice Plus+ is a whole foods based nutritional supplement and meal replacement company. I am a distributor. (similar to Tupperware)



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
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: FIDELITY INVESTMENTS INSTITUTIONAL SERVICES COMPANY, INC

Termination Type: Voluntary Resignation

Termination Date: 04/02/2014

Allegations: AFTER REVIEW OF RECORDS IN CLIENT MANAGEMENT SYSTEM OF REPRESENTATIVE, FIRM DETERMINED THAT REPRESENTATIVE'S RECORDS OF CONTACTS WITH ADVISORS AND ADVISOR FIRMS WERE NOT MAINTAINED IN ACCORDANCE WITH COMPANY POLICY. RECORDS IDENTIFIED NON-SUBSTANTIVE COMMUNICATIONS AS SUBSTANTIVE, DID NOT ACCURATELY IDENTIFY THE SUBJECT MATTER OF COMMUNICATIONS WITH ADVISORS , AND ON ONE OBSERVED OCCASION CLAIMED COMMUNICATION WITH ADVISORS NOT PARTICIPATING IN CALL.

Product Type: No Product

Reporting Source: Individual

Firm Name: FIDELITY INVESTMENTS INSTITUTIONAL SERVICES COMPANY, INC

Termination Type: Voluntary Resignation

Termination Date: 04/02/2014

Allegations: AFTER REVIEW OF RECORDS IN CLIENT MANAGEMENT SYSTEM OF REPRESENTATIVE, FIRM DETERMINED THAT REPRESENTATIVE'S RECORDS OF CONTACTS WITH ADVISORS AND ADVISOR FIRMS WERE NOT MAINTAINED IN ACCORDANCE WITH COMPANY POLICY. RECORDS IDENTIFIED NON-SUBSTANTIVE COMMUNICATIONS AS SUBSTANTIVE, DID NOT ACCURATELY IDENTIFY THE SUBJECT MATTER OF COMMUNICATIONS WITH ADVISORS, AND ON ONE OBSERVED OCCASION CLAIMED



COMMUNICATION WITH ADVISORS NOT PARTICIPATING IN CALL.

Product Type:

No Product

Broker Statement

I VOLUNTARILY RESIGNED FROM FIDELITY ON APRIL 2, 2104, WHEN IT BECAME CLEAR THAT THERE WAS NO UPWARD MOBILITY FOR ME DEPSITE NUMEROUS ATTEMPTS TO MOVE INTO OTHER AREAS OF THE ORGANIZATION.

I WAS PROMOTED 3 TIMES INTERNALLY, CONSISTENTLY RECEIVED EXCELLENT CLIENT FEEDBACK, PRAISE FROM PEERS, AND POSITIVE INTERNAL PERFORMANCE REVIEWS.

DESPITE MY DESIRE TO CHALLENGE MYSELF AND MOVE ONTO THE NEXT PHASE OF MY 10.5 YEAR CAREER WITH FIDELITY, I WAS NOTIFIED THAT AN INTERNAL REVIEW HAD TAKEN PLACE OF MY USE AND INTERPRETATION OF FIDELITY'S GUIDELINES FOR ITS CLIENT CONTACT MANAGEMENT SYSTEM. I HAD ONE OF THE LONGEST TENURES FOR MY ROLE WITHIN THE SAME TERRITORY IN THE INDUSTRY, WHICH AFFORDED ME THE LUXURY OF CULTIVATING DEEP AND LOYAL CLIENT RELATIONSHIPS. OVER A PERIOD OF 9 YEARS THE CONTACT GUIDELINES CHANGED FREQUENTLY AND MY FIRST PRIORITY WAS ALWAYS TO MY CLIENT (I.E. BEING RESPECTFUL OF THEIR TIME, COMMUNICATING WITH THEM VIA THEIR PREFERRED COMMUNICATION METHOD OF CONTACT) WHILE MAINTAINING THE INTERNAL REQUIREMENTS FOR DOCUMENTATION.

AFTER HOSTING A PORTFOLIO MANAGER IN OUR TERRITORY, I HAD 48 HOURS TO FOLLOW UP WITH ALMOST 50 CLIENTS TO MAKE SURE I DIDN'T LOSE MOMENTUM WITH THE SALES POTENTIAL. IN AN EFFORT TO BE MORE SUCCESSFUL AND MAXIMIZE MY CONTACTS, I MADE ALL MY CALLS AND WAITED UNTIL THE END OF THE DAY TO PUT MY NOTES IN. MANY OF THE ADVISORS OF WHOM I HAD LIVE CONVERSATIONS, FOLLOWED UP WITH ME VIA EMAIL THAT THEY WERE GOING TO USE THE HEALTH CARE FUND BASED UPON THE MEETING AND OUR BRIEF CONVERSATION.

AT THE END OF THE DAY, PRESSED FOR TIME, I COMBINED SEVERAL OF THESE CALLS WITH THE CORRESPONDING EMAIL AND ON ONE OCCASION, MISTAKENLY COMBINED THE NOTE FROM 3 ADVISORS IN THE SAME OFFICE INTO ONE NOTE.

ERROR IN JUDGEMENT TO FOREGO THE PROCEDURE OF SEPARATING THE CONVERSATION FROM THE EMAIL, BUT I WANTED TO RESPECT MY CLIENT'S TIME AND I WANTED TO REACH EVERYONE WHO ATTENDED BEFORE THE MEETING WAS FORGOTTEN.

MY OPERATIONAL METHODS MAY NOT HAVE BEEN DESIRABLE TO MANAGEMENT AND MAY NOT HAVE CONFORMED TO FIDELITY'S STANDARDS, BUT THIS WAS STRICTLY AND INTERNAL REVIEW, ADMINISTRATIVE IN NATURE, AND IN NO WAY HARMED A CLIENT OR VIOLATED A FINRA STATUTE.

I DID NOT INTENTIONALLY VIOLATE FIDELITY'S POLICY AND THIS ONE DAY SIGHTED ABOVE, WAS NOT INDICATIVE OF MY TENURE OR LONGSTANDING PERFORMANCE RECORD.



End of Report

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