



IAPD Report

Erick J. Ellsweig

CRD# 4501784

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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

Erick J. Ellsweig (CRD# 4501784)

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 **06/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	03/19/2002
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	04/11/2002

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **46** 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
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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 **46** 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	05/20/2014
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/20/2014
B	Cboe Exchange, Inc.	General Securities Representative	Approved	03/19/2002
B	FINRA	General Securities Representative	Approved	03/19/2002
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	04/29/2002
B	Alabama	Agent	Approved	07/31/2023
B	Alaska	Agent	Approved	03/03/2026
B	Arizona	Agent	Approved	06/02/2017
B	Arkansas	Agent	Approved	01/02/2015
B	California	Agent	Approved	04/10/2002
B	Colorado	Agent	Approved	02/05/2009
B	Connecticut	Agent	Approved	07/26/2017



Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	03/24/2011
B	District of Columbia	Agent	Approved	03/19/2002
B	Florida	Agent	Approved	03/19/2002
IA	Florida	Investment Adviser Representative	Approved	06/24/2016
B	Georgia	Agent	Approved	04/10/2002
B	Hawaii	Agent	Approved	02/16/2016
B	Illinois	Agent	Approved	04/10/2002
B	Indiana	Agent	Approved	05/31/2018
B	Kansas	Agent	Approved	01/03/2022
B	Kentucky	Agent	Approved	07/31/2018
B	Louisiana	Agent	Approved	07/24/2020
B	Maine	Agent	Approved	06/19/2002
B	Maryland	Agent	Approved	03/19/2002
B	Massachusetts	Agent	Approved	08/06/2008
B	Michigan	Agent	Approved	02/11/2005
B	Minnesota	Agent	Approved	02/19/2004
B	Missouri	Agent	Approved	12/06/2021
B	Montana	Agent	Approved	07/30/2024
B	Nevada	Agent	Approved	09/24/2010



Qualifications

	Regulator	Registration	Status	Date
B	New Hampshire	Agent	Approved	07/23/2021
B	New Jersey	Agent	Approved	03/19/2002
B	New Mexico	Agent	Approved	05/15/2002
B	New York	Agent	Approved	05/15/2002
B	North Carolina	Agent	Approved	04/10/2002
IA	North Carolina	Investment Adviser Representative	Approved	04/11/2002
B	Ohio	Agent	Approved	12/19/2006
B	Oklahoma	Agent	Approved	04/08/2016
B	Oregon	Agent	Approved	01/05/2015
B	Pennsylvania	Agent	Approved	05/15/2002
B	Rhode Island	Agent	Approved	07/03/2024
B	South Carolina	Agent	Approved	05/15/2002
B	South Dakota	Agent	Approved	07/13/2021
B	Tennessee	Agent	Approved	11/25/2019
B	Texas	Agent	Approved	09/24/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	01/11/2007
B	Utah	Agent	Approved	07/22/2024
B	Vermont	Agent	Approved	01/13/2021



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	04/10/2002
B Washington	Agent	Approved	01/03/2017
B West Virginia	Agent	Approved	03/17/2020
B Wisconsin	Agent	Approved	07/15/2014
B Wyoming	Agent	Approved	12/10/2024

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED
222 LAKEVIEW AVE
WEST PALM BEACH, FL 33401

MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED
800 GREEN VALLEY RD
GREENSBORO, NC 27408



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 1 state securities law exam.

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 Futures Managed Funds Examination (S31)	Series 31	11/25/2003
B General Securities Representative Examination (S7)	Series 7	03/18/2002

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	04/09/2002



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	WEST PALM BEACH, FL, United States
12/2001 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.	FINANCIAL ADVISOR	Y	GREENSBORO, NC, 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*136869For profit or not for profit: Non-Profit OrganizationName of outside business organization: Sigma Chi Home Association of NorthwesternInvestment related: NoAddress of business: Evanston, Illinois 60204Nature of business: Charitable Organization,Position, title, association: Trustee, Start date of relationship: 4/5/2021Number of hours devoted: 6 hours MonthlyNumber of hours devoted during trading hours: 0Duties: The home association of my college fraternity (Sigma Chi) is the non profit entity that owns the chapter house and runs operations on behalf of the undergraduate kids. I have been asked to serve on board of trustees. I*1371282For profit or not for profit: CharitableName of outside business organization: Kellogg Finance Network Advisory BoardInvestment related: NoAddress of business: New Rochelle, New York, 10804, United StatesNature of business: Business or Industry OrganizationPosition, title, association: Board Member, Other Start date of relationship: 7/10/2023Number of hours devoted: 10 hours YearlyNumber of hours devoted during trading hours: 3Duties: Advisory Board Member, Our Mission. To build a dynamic, self-sustaining Northwestern / Kellogg global finance community that effectively serves its alumni, faculty, and student constituencies while reflecting the unique Kellogg spirit and culture. I*4536275

Entity Type: Fiduciary role Name of OBA: MR E. J E. TTEE K. G. E. TTEE U/A DTD 01/16/2020 Address: Boca Raton, Florida, 33496 Investment Related: No Position, Title, Association: Co-Trustee Employee Start Date: 05/08/2026 Number of Hours: 0 Number of Hours during trading: 0 Duties: Co-Trustee/Self, Spouse

I*4672267
Entity Type: N/A
Name of OBA: MR E J E TTEE K G E TTEE U/A DTD 01/16/2020
Address: Boca Raton, Florida, 33496
Investment Related: No
Position, Title, Association: Co-Trustee
Employee Start Date: 06/10/2026
Number of Hours: 1, Yearly
Number of Hours during trading: 0, Yearly



Registration & Employment History



OTHER BUSINESS ACTIVITIES

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 INCORPORATED
Allegations:	THE CUSTOMER ALLEGES AN UNSUITABLE INVESTMENT RECOMMENDATION IN MARCH 2008
Product Type:	Other: PRIVATE PLACEMENTS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE NOT SPECIFIED.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/14/2013
Complaint Pending?	No
Status:	Denied
Status Date:	08/29/2013
Settlement Amount:	

**Individual Contribution
Amount:****Broker Statement**

THIS COMPLAINT IS BEREFT OF MERIT. MERRILL LYNCH AND MR. ELLSWEIG DENY ANY WRONGDOING. UPON REVIEW OF THE FACTS, CIRCUMSTANCES AND DISCUSSIONS WITH THE CUSTOMER, THE CUSTOMER IS A SOPHISTICATED INVESTOR WHO RECEIVED MULTIPLE DISCLOSURES REGARDING THE RISKS AND CHARACTERISTICS OF THE INVESTMENT AT ISSUE. FURTHERMORE, THE INVESTMENT WAS SUITABLE GIVEN THE CLIENT'S RISK TOLERANCE AND INVESTMENT OBJECTIVES AND THE FACT THAT THE CLIENT IS BOTH A QUALIFIED PURCHASER AND ACCREDITED INVESTOR WHO UNDERSTOOD THE NATURE OF SUCH AN INVESTMENT.

Disclosure 2 of 2**Reporting Source:**

Regulator

**Employing firm when
activities occurred which led
to the complaint:****Allegations:**

NEGLIGENCE (INCLUDING VIOLATIONS OF INDUSTRY RULES); SUITABILITY;
MISREPRESENTATIONS AND OMISSIONS; BREACH OF FIDUCIARY DUTY;
BREACH OF CONTRACT

Product Type:

Other: VARIOUS UNSPECIFIED EQUITIES

Alleged Damages:

\$5,000,000.00

Arbitration Information**Arbitration/Reparation Claim
filed with and Docket/Case
No.:**

FINRA - CASE #09-07122

Date Notice/Process Served:

12/22/2009

Arbitration Pending?

No

Disposition:

Dismissed

Disposition Date:

05/11/2011

Disposition Detail:

ERICK ELLSWEIG WAS A SUBJECT OF THE CUSTOMER'S STATEMENT OF CLAIM FOR THIS ARBITRATION ALLEGING THAT HE ALONG WITH HIS MEMBER FIRM CONTRIBUTED TO THE SALES PRACTICE VIOLATION(S). ACCORDINGLY, ALL CLAIM(S) AGAINST ELLSWEIG'S MEMBER FIRM WERE DISMISSED IN THEIR ENTIRETY WITH PREJUDICE.

Reporting Source:

Individual

**Employing firm when
activities occurred which led
to the complaint:**

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations:

THE CUSTOMER ALLEGES UNSUITABLE INVESTMENT RECOMMENDATIONS
AND MISREPRESENTATION FROM OCTOBER 2006 THROUGH 2008.

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$5,000,000.00

Is this an oral complaint?

No



Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 09-07122

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 12/22/2009

Customer Complaint Information

Date Complaint Received: 01/04/2010

Complaint Pending? No

Status: Denied

Status Date: 05/11/2011

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

I WAS ONE OF THREE FINANCIAL ADVISORS WHO SERVICED CLAIMANT'S ACCOUNTS IN THIS MATTER. AFTER FOUR DAYS OF HEARINGS, THE ARBITRATORS UNANIMOUSLY DISMISSED ALL CLAIMS IN THEIR ENTIRETY, WITH PREJUDICE, VINDICATING ME.



End of Report

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