



IAPD Report

Michael Brooks

CRD# 4555034

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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

Michael Brooks (CRD# 4555034)

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 **05/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	12/17/2024
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	12/18/2024

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **4** 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	THRIVENT INVESTMENT MANAGEMENT INC.	18387	Fredericksburg, VA	07/23/2024 - 10/29/2024
B	THRIVENT INVESTMENT MANAGEMENT INC.	18387	Fredericksburg, VA	06/05/2024 - 10/29/2024
B	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN	09/22/2003 - 04/26/2004

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
Criminal	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 4 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	12/17/2024
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	12/17/2024
B Cboe Exchange, Inc.	General Securities Representative	Approved	12/17/2024
B FINRA	General Securities Representative	Approved	12/17/2024
B Nasdaq Stock Market	General Securities Representative	Approved	12/17/2024
B New York Stock Exchange	General Securities Representative	Approved	12/17/2024
B Maryland	Agent	Approved	04/28/2026
B North Carolina	Agent	Approved	04/28/2026
B Texas	Agent	Approved	12/19/2024
IA Texas	Investment Adviser Representative	Restricted Approval	01/02/2025
B Virginia	Agent	Approved	12/18/2024
IA Virginia	Investment Adviser Representative	Approved	12/18/2024

Branch Office Locations



Qualifications

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
910 PRINCESS ANNE ST
FREDERICKSBURG, VA 22401



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
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B	General Securities Representative Examination (S7TO)	Series 7TO	06/04/2024
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B	Securities Industry Essentials Examination (SIE)	SIE	09/19/2023
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B	General Securities Representative Examination (S7)	Series 7	01/31/2003
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State Securities Law Exams

Exam	Category	Date
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IA B	Uniform Combined State Law Examination (S66)	Series 66	07/05/2024
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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	07/23/2024 - 10/29/2024	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	Fredericksburg, VA
B	06/05/2024 - 10/29/2024	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	Fredericksburg, VA
B	09/22/2003 - 04/26/2004	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
IA	09/22/2003 - 04/26/2004	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	CRD# 6363	CENTREVILLE, VA
B	09/22/2003 - 01/09/2004	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	02/03/2003 - 02/12/2003	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	02/03/2003 - 02/12/2003	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
01/2025 - Present	Bank of America, N.A.	FSA - Merrill	Y	Fredericksburg, VA, United States
10/2024 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FSA - Merrill	Y	Fredericksburg, VA, United States
08/2024 - 10/2024	Thrivent Financial	Associate Representative	Y	Appleton, WI, United States
02/2024 - 10/2024	Thrivent Investment Management Inc	Registered Representative	Y	Minneapolis, MN, United States
08/2023 - 01/2024	self employed	self employed	N	Fredericksburg, VA, United States
07/2023 - 01/2024	New York Life	Insurance Agent	N	Vienna, VA, United States
06/1998 - 07/2023	Mb Sports	Owner	N	FREDERICKSBURG, VA, United States



Registration & Employment History



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.

No information reported.



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
Criminal	3

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 3

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Fredericksburg Circuit Court
Location of Court:	Fredericksburg Virginia
Docket/Case #:	CR98000146-00
Charge Date:	03/23/1998
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Distribution of Scheduled II substance
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Acquitted
Current Status:	Final
Status Date:	04/06/1998
Disposition Date:	04/06/1998
Sentence/Penalty:	I was found not guilty. I was acquitted
Broker Statement	Found Not Guilty. Acquitted.

Disclosure 2 of 3

Reporting Source:	Individual
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Formal Charges were brought in: State Court

Name of Court: Fredericksburg Circuit Court

Location of Court: Fredericksburg Virginia

Docket/Case #: CR00000519-00

Charge Date: 04/23/1999

Charge(s) 1 of 1

Formal Charge(s)/Description: Distribution of Schedule II Substance

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: Not Guilty

Disposition of charge: Acquitted

Current Status: Final

Status Date: 06/23/1999

Disposition Date: 06/23/1999

Sentence/Penalty: I was acquitted.

Broker Statement Found Not Guilty.

Disclosure 3 of 3

Reporting Source: Individual

Formal Charges were brought in: State Court

Name of Court: Fredericksburg General District Court

Location of Court: Fredericksburg Virginia

Docket/Case #: Not Available

Charge Date: 07/22/2004

Charge(s) 1 of 1

Formal Charge(s)/Description: Obstruction of Justice

No of Counts: 1

Felony or Misdemeanor: Misdemeanor

Plea for each charge: Not Guilty

Disposition of charge: Convicted

Current Status: Final

Status Date: 09/12/2004

Disposition Date: 09/12/2004

Sentence/Penalty: Sentenced to probation. I completed the probation and that was the end result. I don't know if the charge is on my record or not. Fredericksburg Virginia Courts



have no records of the incident because it's been over 10 years.

Broker Statement

I was walking home the night of July 22, 2004. I had no idea there was a fight earlier in my neighborhood. 2 large males hopped out of an SUV and started running towards me. The 2 large males were unidentifiable. They were dressed in regular civilian clothes. I took off running as they ran towards me. After a brief chase, I was questioned. I was charged with obstruction of justice since I could not provide any information of what happened earlier. I was not arrested but charged. The incident had nothing to do with investments. The Fredericksburg Courts have no records of the incident.



End of Report

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