



IAPD Report

ALIREZA S HASHEMI

CRD# 4709524

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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

ALIREZA S HASHEMI (CRD# 4709524)

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 **12/10/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|--|-----------|------------------|
| IA | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | 05/30/2012 |
| B | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | 06/01/2012 |

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **3** 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 |
|----|-------------------------------------|------|-----------------|-------------------------|
| B | AMERIPRISE FINANCIAL SERVICES, INC. | 6363 | HOUSTON, TX | 01/01/2004 - 08/23/2011 |
| IA | AMERIPRISE FINANCIAL SERVICES, INC. | 6363 | HOUSTON, TX | 01/01/2004 - 08/23/2011 |
| B | IDS LIFE INSURANCE COMPANY | 6321 | MINNEAPOLIS, MN | 01/01/2004 - 07/03/2006 |

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 |
|---------------|-------|
| Financial | 1 |
| Judgment/Lien | 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 3 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 | 06/01/2012 |
| B FINRA | General Securities Representative | Approved | 06/01/2012 |
| B FINRA | Invest. Co and Variable Contracts | Approved | 06/01/2012 |
| B Nasdaq Stock Market | General Securities Representative | Approved | 06/01/2012 |
| B New York Stock Exchange | General Securities Representative | Approved | 06/01/2012 |
| B Alabama | Agent | Approved | 06/07/2023 |
| B New York | Agent | Approved | 03/21/2019 |
| IA Texas | Investment Adviser Representative | Approved | 05/30/2012 |
| B Texas | Agent | Approved | 06/01/2012 |

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
13135 DAIRY ASHFORD RD



Qualifications

SUGAR LAND, TX 77478



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 |
|------|----------|------|
|------|----------|------|

No information reported.



General Industry/Product Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|--|------------|------------|
|  Investment Company Products/Variable Contracts Representative Examination (S6TO) | Series 6TO | 01/02/2023 |
|  Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  General Securities Representative Examination (S7) | Series 7 | 12/30/2003 |

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|---|-----------|------------|
|   Uniform Combined State Law Examination (S66) | Series 66 | 11/10/2003 |
|---|-----------|------------|

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 |
|----|-------------------------|-------------------------------------|-----------|-----------------|
| B | 01/01/2004 - 08/23/2011 | AMERIPRISE FINANCIAL SERVICES, INC. | CRD# 6363 | HOUSTON, TX |
| IA | 01/01/2004 - 08/23/2011 | AMERIPRISE FINANCIAL SERVICES, INC. | CRD# 6363 | HOUSTON, TX |
| B | 01/01/2004 - 07/03/2006 | 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 |
|-------------------|--|-------------------|--------------------|-------------------------------|
| 07/2012 - Present | BANK OF AMERICA, N.A | FINANCIAL ADVISOR | Y | SUGAR LAND, TX, United States |
| 05/2012 - Present | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | EMPLOYEE ADVISOR | Y | HOUSTON, TX, 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*424738 For profit or not for profit: Entity For Profit Name of outside business organization: Shirdal/Homa/Paramount Investment related: N Address of business: Sugar Land, Texas, 77478 Nature of business: ["Limited Liability Company"] Position, title, association: ["Officer"], Start date of relationship: 2/1/2014 Number of hours devoted: 40 hour(s) Weekly Number of hours devoted during trading hours: 5 Duties: , Health Care / Physical rehab*1041356 For profit or not for profit: Entity For Profit Name of outside business organization: Four Doostan LLC Investment related: N Address of business: Richmond, Texas Nature of business: ["Limited Liability Company"] Position, title, association: ["General Partner/Managing Member"], Start date of relationship: 3/21/2022 Number of hours devoted: 4 hour(s) Yearly Number of hours devoted during trading hours: 0 Duties: , This company is for purchasing land in Austin and Austin surrounding I*1701304, Entity Type, For Profit Name of OBA: Paramount Pelvic Rehab LLC Address: Houston, TX, 77063 Investment Related: NO Position, Title, Association: Owner Employee Start Date: 03/01/2024 No Hours: WEEKLY No Hours during trading: 0 Duties: Owner, Paramount Pelvic is part of Paramount Health Services and all roles and services are the same and operated through Paramount Health. I*1701301, Entity Type, For Profit Name of OBA: Shirdal LLC Address: Sugar Land, TX, 77478 Investment Related: NO Position, Title, Association: Owner Employee Start Date: 12/13/2013 No Hours: MONTHLY No Hours during trading: 0 Duties: I am 100% owner. This company is connected to Paramount Health Services LLC and currently is just a pass through company. It does not conduct any services.

I*1708257
 Entity For Profit
 Name of OBA: Paramount Health Services, LLC.
 Address: Houston, Texas, 77063
 Investment Related: No
 Position, Title, Association: Owner



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Employee Start Date: 06/01/2014

No Hours: 0

No Hours during trading: 0

Duties: Paramount is a Physical Therapy, Pelvic, Home Health & Sport Rehab company. I am owner & CEO of the company. I oversee the company present & future planning as well as strategies & logistics with the help of my managers & lead Dr.s.

I*1701302

Entity For Profit

Name of OBA: Homa LLC.

Address: Houston, Texas, 77478

Investment Related: No

Position, Title, Association: Owner

Employee Start Date: 12/13/2023

No Hours: 0

No Hours during trading: 0

Duties: I am 100% owner, Homa LLC. along with Shirdal LLC. are connected and related to Paramount Health Services, LLC. This is part of Paramount and pass through that provides services through Paramount.

I*1701303

Entity For Profit

Name of OBA: Paramount Sugarland LLC.

Address: Houston, Texas, 77063

Investment Related: No

Position, Title, Association: Owner

Employee Start Date: 12/03/2020

No Hours: 0

No Hours during trading: 0

Duties: General Partner/member, Paramount Health Services is operating this company and manages all operation and roles and services for Paramount Sugar land.



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 |
|---------------|-------|
| Financial | 1 |
| Judgment/Lien | 1 |

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

| | |
|---|---|
| Reporting Source: | Individual |
| Action Type: | Bankruptcy |
| Bankruptcy: | Chapter 11 |
| Action Date: | 09/05/2022 |
| Organization Name: | Paramount Health Services, LLC |
| Individual Position: | President/Manager |
| Organization Investment-Related? | No |
| Type of Court: | Federal Court |
| Name of Court: | United States Bankruptcy Court Southern District of Texas |
| Location of Court: | Houston, TX |
| Docket/Case #: | 22-32623 |
| Action Pending? | Yes |



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

| | |
|-----------------------------------|-------------------------------|
| Reporting Source: | Individual |
| Judgment/Lien Holder: | Apex/Endeavors |
| Judgment/Lien Amount: | \$825,514.48 |
| Judgment/Lien Type: | Civil |
| Date Filed with Court: | 06/14/2022 |
| Date Individual Learned: | 08/08/2022 |
| Type of Court: | Federal Court |
| Name of Court: | Harris County Clerk of Courts |
| Location of Court: | HARRIS, TX |
| Docket/Case #: | 2014-46551 |
| Judgment/Lien Outstanding? | Yes |



End of Report

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