



## IAPD Report

# Adam Applegate

CRD# 4936894

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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

### Adam Applegate (CRD# 4936894)

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 **09/26/2024**.

### CURRENT EMPLOYERS

|           | Firm   | CRD#      | Registered Since |
|-----------|--|-----------|------------------|
| <b>B</b>  | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | 07/27/2021       |
| <b>IA</b> | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | 07/27/2021       |

### 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      |
|-----------|------------------------------------|-------|----------------|-------------------------|
| <b>IA</b> | WELLS FARGO CLEARING SERVICES, LLC | 19616 | LOUISVILLE, KY | 12/08/2008 - 07/15/2021 |
| <b>B</b>  | WELLS FARGO CLEARING SERVICES, LLC | 19616 | LOUISVILLE, KY | 05/20/2005 - 07/15/2021 |

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?

**No**



## 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>B</b> | Cboe BYX Exchange, Inc. | General Securities Representative   | Approved | 07/27/2021 |
| <b>B</b> | Cboe BZX Exchange, Inc. | General Securities Representative   | Approved | 07/27/2021 |
| <b>B</b> | Cboe Exchange, Inc.     | General Securities Representative   | Approved | 07/27/2021 |
| <b>B</b> | Cboe Exchange, Inc.     | General Securities Sales Supervisor | Approved | 07/27/2021 |
| <b>B</b> | FINRA                   | General Securities Representative   | Approved | 07/27/2021 |
| <b>B</b> | FINRA                   | General Securities Sales Supervisor | Approved | 07/27/2021 |
| <b>B</b> | Nasdaq Stock Market     | General Securities Representative   | Approved | 07/27/2021 |
| <b>B</b> | Nasdaq Stock Market     | General Securities Sales Supervisor | Approved | 07/27/2021 |
| <b>B</b> | New York Stock Exchange | General Securities Representative   | Approved | 07/27/2021 |
| <b>B</b> | New York Stock Exchange | General Securities Sales Supervisor | Approved | 07/27/2021 |
| <b>B</b> | Alabama                 | Agent                               | Approved | 07/30/2021 |
| <b>B</b> | Alaska                  | Agent                               | Approved | 07/30/2021 |
| <b>B</b> | Arizona                 | Agent                               | Approved | 07/30/2021 |



## Qualifications

|    | Regulator            | Registration                      | Status   | Date       |
|----|----------------------|-----------------------------------|----------|------------|
| B  | Arkansas             | Agent                             | Approved | 07/30/2021 |
| B  | California           | Agent                             | Approved | 07/30/2021 |
| B  | Colorado             | Agent                             | Approved | 07/30/2021 |
| B  | Connecticut          | Agent                             | Approved | 07/30/2021 |
| B  | Delaware             | Agent                             | Approved | 07/30/2021 |
| B  | District of Columbia | Agent                             | Approved | 07/30/2021 |
| B  | Florida              | Agent                             | Approved | 07/30/2021 |
| B  | Georgia              | Agent                             | Approved | 07/30/2021 |
| B  | Hawaii               | Agent                             | Approved | 07/30/2021 |
| B  | Idaho                | Agent                             | Approved | 07/30/2021 |
| B  | Illinois             | Agent                             | Approved | 07/30/2021 |
| B  | Indiana              | Agent                             | Approved | 07/28/2021 |
| IA | Indiana              | Investment Adviser Representative | Approved | 07/28/2021 |
| B  | Iowa                 | Agent                             | Approved | 07/30/2021 |
| B  | Kansas               | Agent                             | Approved | 07/30/2021 |
| B  | Kentucky             | Agent                             | Approved | 07/27/2021 |
| IA | Kentucky             | Investment Adviser Representative | Approved | 07/27/2021 |
| B  | Louisiana            | Agent                             | Approved | 07/30/2021 |
| B  | Maine                | Agent                             | Approved | 07/30/2021 |



## Qualifications

|    | Regulator      | Registration                      | Status   | Date       |
|----|----------------|-----------------------------------|----------|------------|
| B  | Maryland       | Agent                             | Approved | 07/30/2021 |
| B  | Massachusetts  | Agent                             | Approved | 07/30/2021 |
| B  | Michigan       | Agent                             | Approved | 07/30/2021 |
| B  | Minnesota      | Agent                             | Approved | 07/30/2021 |
| B  | Mississippi    | Agent                             | Approved | 07/30/2021 |
| B  | Missouri       | Agent                             | Approved | 07/30/2021 |
| B  | Montana        | Agent                             | Approved | 07/30/2021 |
| B  | Nebraska       | Agent                             | Approved | 07/30/2021 |
| B  | Nevada         | Agent                             | Approved | 07/30/2021 |
| B  | New Hampshire  | Agent                             | Approved | 07/30/2021 |
| B  | New Jersey     | Agent                             | Approved | 07/30/2021 |
| B  | New Mexico     | Agent                             | Approved | 07/30/2021 |
| B  | New York       | Agent                             | Approved | 07/30/2021 |
| B  | North Carolina | Agent                             | Approved | 07/30/2021 |
| B  | North Dakota   | Agent                             | Approved | 07/30/2021 |
| B  | Ohio           | Agent                             | Approved | 07/28/2021 |
| IA | Ohio           | Investment Adviser Representative | Approved | 07/28/2021 |
| B  | Oklahoma       | Agent                             | Approved | 07/30/2021 |
| B  | Oregon         | Agent                             | Approved | 07/30/2021 |



## Qualifications

|    | Regulator      | Registration                      | Status   | Date       |
|----|----------------|-----------------------------------|----------|------------|
| B  | Pennsylvania   | Agent                             | Approved | 07/30/2021 |
| B  | Puerto Rico    | Agent                             | Approved | 07/30/2021 |
| B  | Rhode Island   | Agent                             | Approved | 07/30/2021 |
| B  | South Carolina | Agent                             | Approved | 07/30/2021 |
| B  | South Dakota   | Agent                             | Approved | 07/30/2021 |
| B  | Tennessee      | Agent                             | Approved | 07/30/2021 |
| B  | Texas          | Agent                             | Approved | 07/30/2021 |
| IA | Texas          | Investment Adviser Representative | Approved | 07/30/2021 |
| B  | Utah           | Agent                             | Approved | 07/30/2021 |
| B  | Vermont        | Agent                             | Approved | 07/30/2021 |
| B  | Virgin Islands | Agent                             | Approved | 07/30/2021 |
| B  | Virginia       | Agent                             | Approved | 07/30/2021 |
| B  | Washington     | Agent                             | Approved | 07/30/2021 |
| B  | West Virginia  | Agent                             | Approved | 07/28/2021 |
| IA | West Virginia  | Investment Adviser Representative | Approved | 07/30/2021 |
| B  | Wisconsin      | Agent                             | Approved | 07/30/2021 |
| B  | Wyoming        | Agent                             | Approved | 07/30/2021 |

## Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH**



## Qualifications

**INCORPORATED**

101 BULLITT LN  
LOUISVILLE, KY 40222

**MERRILL LYNCH, PIERCE, FENNER & SMITH  
INCORPORATED**

7300 EAGLE CREST BLVD  
EVANSVILLE, IN 47715

**MERRILL LYNCH, PIERCE, FENNER & SMITH  
INCORPORATED**

Louisville, KY

**MERRILL LYNCH, PIERCE, FENNER & SMITH  
INCORPORATED**

1117 3RD AVE  
HUNTINGTON, WV 25701

**MERRILL LYNCH, PIERCE, FENNER & SMITH  
INCORPORATED**

500 LEE ST E  
CHARLESTON, WV 25301





## 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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

|   | Exam   | Category  | Date       |
|---|--|-----------|------------|
| B | General Securities Sales Supervisor - General Module Examination (S10) | Series 10 | 01/23/2009 |
| B | General Securities Sales Supervisor - Options Module Examination (S9)  | Series 9  | 09/18/2008 |

#### General Industry/Product Exams

|   | Exam   | Category    | Date       |
|---|--|-------------|------------|
| B | Operations Professional Examination (S99TO)        | Series 99TO | 01/02/2023 |
| B | Securities Industry Essentials Examination (SIE)   | SIE         | 10/01/2018 |
| B | General Securities Representative Examination (S7) | Series 7    | 05/19/2005 |

#### State Securities Law Exams

|    | Exam   | Category  | Date       |
|----|--|-----------|------------|
| IA | Uniform Investment Adviser Law Examination (S65)     | Series 65 | 08/17/2007 |
| B  | Uniform Securities Agent State Law Examination (S63) | Series 63 | 07/12/2007 |



### 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 | 12/08/2008 - 07/15/2021 | WELLS FARGO CLEARING SERVICES, LLC | CRD#<br>19616 | LOUISVILLE, KY  |
| B  | 05/20/2005 - 07/15/2021 | WELLS FARGO CLEARING SERVICES, LLC | CRD#<br>19616 | LOUISVILLE, KY  |

### 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             |
|-------------------|--|----------------------------|--------------------|-------------------------------|
| 07/2021 - Present | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | Market Supervision Manager | Y                  | Louisville, KY, United States |
| 11/2016 - 07/2021 | WELLS FARGO CLEARING SERVICES, LLC                 | REGISTERED REP             | Y                  | LEXINGTON, KY, United States  |
| 05/2009 - 11/2016 | WELLS FARGO ADVISORS LLC                           | REGISTERED REP             | Y                  | LEXINGTON, KY, 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.

No information reported.



## End of Report

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