



IAPD Report

Adam Applegate

CRD# 4936894

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	07/27/2021
IA	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
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	LOUISVILLE, KY	12/08/2008 - 07/15/2021
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 Cboe BYX Exchange, Inc.	General Securities Representative	Approved	07/27/2021
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	07/27/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	07/27/2021
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	07/27/2021
B FINRA	General Securities Representative	Approved	07/27/2021
B FINRA	General Securities Sales Supervisor	Approved	07/27/2021
B Nasdaq Stock Market	General Securities Representative	Approved	07/27/2021
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/27/2021
B New York Stock Exchange	General Securities Representative	Approved	07/27/2021
B New York Stock Exchange	General Securities Sales Supervisor	Approved	07/27/2021
B Alabama	Agent	Approved	07/30/2021
B Alaska	Agent	Approved	07/30/2021
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
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/23/2009
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/18/2008

General Industry/Product Exams

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

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/17/2007
 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# 19616	LOUISVILLE, KY
B	05/20/2005 - 07/15/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 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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