



## IAPD Report

### COLIN FRANCIS IGAWA

CRD# 5509420

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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

### COLIN FRANCIS IGAWA (CRD# 5509420)

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 **02/12/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	09/22/2022
<b>IA</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	09/22/2022

### QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **13** 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>B</b>	J.P. MORGAN SECURITIES LLC	79	SEATTLE, WA	10/01/2012 - 09/23/2022
<b>IA</b>	J.P. MORGAN SECURITIES LLC	79	SEATTLE, WA	10/01/2012 - 09/23/2022
<b>B</b>	CHASE INVESTMENT SERVICES CORP.	25574	SEATTLE, WA	08/11/2011 - 10/01/2012

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 13 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	09/22/2022
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/22/2022
B Cboe Exchange, Inc.	General Securities Representative	Approved	09/22/2022
B FINRA	General Securities Representative	Approved	09/22/2022
B Nasdaq Stock Market	General Securities Representative	Approved	09/22/2022
B New York Stock Exchange	General Securities Representative	Approved	09/22/2022
B Alaska	Agent	Approved	09/22/2022
B Arizona	Agent	Approved	09/22/2022
B California	Agent	Approved	09/22/2022
B Colorado	Agent	Approved	09/22/2022
B Florida	Agent	Approved	09/22/2022
B Georgia	Agent	Approved	09/22/2022
B Hawaii	Agent	Approved	09/22/2022



## Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	09/22/2022
B New York	Agent	Approved	09/22/2022
B Oregon	Agent	Approved	09/22/2022
B Texas	Agent	Approved	09/22/2022
IA Texas	Investment Adviser Representative	Approved	09/22/2022
B Virginia	Agent	Approved	09/22/2022
B Washington	Agent	Approved	09/22/2022
IA Washington	Investment Adviser Representative	Approved	09/22/2022

## Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH  
INCORPORATED**  
401 UNION ST  
SEATTLE, WA 98101



## 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, 2 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
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/20/2008

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	07/07/2008

### 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	10/01/2012 - 09/23/2022	J.P. MORGAN SECURITIES LLC	CRD# 79	SEATTLE, WA
 IA	10/01/2012 - 09/23/2022	J.P. MORGAN SECURITIES LLC	CRD# 79	SEATTLE, WA
 B	08/11/2011 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SEATTLE, WA
 IA	08/11/2011 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SEATTLE, WA
 IA	11/09/2009 - 07/15/2011	METLIFE SECURITIES INC.	CRD# 14251	BELLEVUE, WA
 B	11/05/2009 - 07/15/2011	METLIFE SECURITIES INC.	CRD# 14251	BELLEVUE, WA
 IA	07/15/2008 - 09/22/2009	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SEATTLE, WA
 B	05/22/2008 - 09/22/2009	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SEATTLE, WA

### 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
12/2022 - Present	Bank of America, N.A.	Financial Advisor - AGP	Y	Seattle, WA, United States
09/2022 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Financial Advisor - AGP	Y	SEATTLE, WA, United States
09/2014 - Present	COMET LODGE COLLECTIBLES	OWNER	N	SEATTLE, WA, United States
10/2012 - 09/2022	J.P. MORGAN SECURITIES LLC	Mass Transfer	Y	SEATTLE, WA, 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.

Entity Name: Colin Igawa - Sole Proprietor

Investment related: No

"Address: 3145 Cooper Creek Drive  
Henderson NV 89074"

Nature of the other business: Real Estate

Position/Title/Relationship: Owner/Partner

Start Date: 06/01/2022

Approximate # of hours a month: 0-10

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: 2nd home, potential rental

ACTIVITY TYPE: 1 - OUTSIDE BUSINESS ACTIVITY WITH A NON-PUBLIC ENTITY

NAME OF ENTITY: COMET LODGE COLLECTIBLES (FORMERLY SAD HILL SOLES)

POSITION: OWNER

START DATE: 9/1/2014

ADDRESS: 5923 SEATTLE WA

DETAILS: SELLING RARE CLOTHES, SHOES, AND COLLECTIBLES FROM PERSONAL COLLECTION AT MARKET VALUE.

HOURS DEDICATED (per month unless otherwise indicated): 2-5

HOURS DURING TRADING: NONE

INVESTMENT RELATED: NO

ACTIVITY TYPE: 1 - OUTSIDE BUSINESS ACTIVITY WITH A NON-PUBLIC ENTITY

NAME OF ENTITY: (SELF)

POSITION: OWNER / LANDLORD - RENTAL PROPERTY

START DATE: 3/23/2017

ADDRESS: 94-797 WAIPAHU, HI.

DETAILS: Rental Property

HOURS DEDICATED (per month unless otherwise indicated): 3

HOURS DURING TRADING: 0

INVESTMENT RELATED: YES

ACTIVITY TYPE: 1 - OUTSIDE BUSINESS ACTIVITY WITH A NON-PUBLIC ENTITY

NAME OF ENTITY: (SELF)

POSITION: OWNER / LANDLORD - RENTAL PROPERTY

START DATE: 3/23/2017

ADDRESS: 84-965 B Waianae, Hawaii

DETAILS: Owner. Delegate property managers to find renters and to perform regular property maintenance

HOURS DEDICATED (per month unless otherwise indicated): 3

HOURS DURING TRADING: 0

INVESTMENT RELATED: YES

ACTIVITY TYPE: 1 - OUTSIDE BUSINESS ACTIVITY WITH A NON-PUBLIC ENTITY

NAME OF ENTITY: (SELF)

POSITION: OWNER / LANDLORD - RENTAL PROPERTY

START DATE: 3/23/2017

ADDRESS: 1255 HONOLULU, HAWAII

DETAILS: Rental property

HOURS DEDICATED (per month unless otherwise indicated): 3

HOURS DURING TRADING: 0



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

INVESTMENT RELATED: YES

ACTIVITY TYPE: 1 - OUTSIDE BUSINESS ACTIVITY WITH A NON-PUBLIC ENTITY

NAME OF ENTITY: (SELF)

POSITION: OWNER / LANDLORD - RENTAL PROPERTY

START DATE: 7/8/2014

ADDRESS: 2414 SEATTLE, WA.

DETAILS: Rental property

HOURS DEDICATED (per month unless otherwise indicated): 0

HOURS DURING TRADING: 0

INVESTMENT RELATED: YES

I\*1012289, Name of OBA: Rental Property 1 Address: Waipahu, HI Investment Related: No Position, Title, Association: Sole owner Employee Start Date: 9/28/2022 No Hours: 12 Yearly No Hours during trading: 0 Duties:

I\*1012290, Name of OBA: Rental Property 2 Address: Seattle, WA Investment Related: No Position, Title, Association: Sole owner Employee Start Date: 9/28/2022 No Hours: 12 Yearly No Hours during trading: 0 Duties

I\*1013314, Name of OBA: Rental Property 3 Address: Honolulu, HI Investment Related: No Position, Title, Association: Sole owner Employee Start Date: 9/28/2022 No Hours: 12 Yearly No Hours during trading: 0 Duties:

I\*1013315, Name of OBA: Rental Property 4 Address: Waianae, HI Investment Related: No Position, Title, Association: Sole owner Employee Start Date: 9/28/2022 No Hours: 12 Yearly No Hours during trading: 0 Duties:

I\*1013316, Name of OBA: Rental Property 5 Address: Henderson, NV Investment Related: No Position, Title, Association: Co-owner with other family members Employee Start Date: 9/28/2022 No Hours: 12 Yearly No Hours during trading: 0 Duties:



## **End of Report**

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