



IAPD Report

IAN ALEX DUBEE

CRD# 5851749

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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

IAN ALEX DUBEE (CRD# 5851749)

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 **05/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	08/31/2015
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	09/02/2015

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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	VALLEJO, CA	12/20/2012 - 05/12/2015
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	VALLEJO, CA	12/20/2012 - 05/12/2015
IA	METLIFE SECURITIES INC.	14251	WALNUT CREEK, CA	06/09/2011 - 11/20/2012

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?

Yes

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Criminal	1



Report Summary



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	08/31/2015
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	08/31/2015
B	Cboe Exchange, Inc.	General Securities Representative	Approved	08/31/2015
B	FINRA	General Securities Representative	Approved	09/01/2015
B	Nasdaq Stock Market	General Securities Representative	Approved	08/31/2015
B	New York Stock Exchange	General Securities Representative	Approved	08/31/2015
B	Alabama	Agent	Approved	10/12/2023
B	Alaska	Agent	Approved	10/20/2023
B	Arizona	Agent	Approved	03/30/2022
B	Arkansas	Agent	Approved	06/02/2022
B	California	Agent	Approved	10/12/2023
B	Colorado	Agent	Approved	10/12/2023
B	Connecticut	Agent	Approved	10/12/2023



Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	10/23/2023
B	District of Columbia	Agent	Approved	10/13/2023
B	Florida	Agent	Approved	10/09/2015
B	Georgia	Agent	Approved	09/02/2015
B	Hawaii	Agent	Approved	01/08/2024
B	Idaho	Agent	Approved	10/12/2023
B	Illinois	Agent	Approved	12/05/2023
B	Indiana	Agent	Approved	10/30/2023
B	Iowa	Agent	Approved	10/16/2023
B	Kansas	Agent	Approved	10/12/2023
B	Kentucky	Agent	Approved	09/02/2015
B	Louisiana	Agent	Approved	10/13/2023
B	Maine	Agent	Approved	10/12/2023
B	Maryland	Agent	Approved	10/12/2023
B	Massachusetts	Agent	Approved	10/11/2023
B	Michigan	Agent	Approved	10/13/2023
B	Minnesota	Agent	Approved	10/11/2023
B	Mississippi	Agent	Approved	10/13/2023
B	Missouri	Agent	Approved	10/12/2023



Qualifications

	Regulator	Registration	Status	Date
B	Montana	Agent	Approved	10/17/2023
B	Nebraska	Agent	Approved	10/12/2023
B	Nevada	Agent	Approved	10/16/2023
B	New Hampshire	Agent	Approved	01/30/2023
B	New Jersey	Agent	Approved	10/12/2023
B	New Mexico	Agent	Approved	10/12/2023
B	New York	Agent	Approved	10/12/2023
B	North Carolina	Agent	Approved	09/02/2015
IA	North Carolina	Investment Adviser Representative	Approved	09/02/2015
B	North Dakota	Agent	Approved	10/16/2023
B	Ohio	Agent	Approved	01/04/2023
B	Oklahoma	Agent	Approved	10/12/2023
B	Oregon	Agent	Approved	10/16/2023
B	Pennsylvania	Agent	Approved	10/12/2023
B	Puerto Rico	Agent	Approved	10/24/2023
B	Rhode Island	Agent	Approved	10/12/2023
B	South Carolina	Agent	Approved	09/08/2015
B	South Dakota	Agent	Approved	10/16/2023



Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	07/11/2016
B	Texas	Agent	Approved	08/25/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	09/12/2016
B	Utah	Agent	Approved	10/12/2023
B	Vermont	Agent	Approved	10/13/2023
B	Virgin Islands	Agent	Approved	10/13/2023
B	Virginia	Agent	Approved	09/08/2015
B	Washington	Agent	Approved	10/11/2023
B	West Virginia	Agent	Approved	10/26/2023
B	Wisconsin	Agent	Approved	10/12/2023
B	Wyoming	Agent	Approved	10/25/2023

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
4242 SIX FORKS RD
RALEIGH, NC 27609



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	03/22/2011

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	04/29/2011



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	12/20/2012 - 05/12/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	VALLEJO, CA
IA	12/20/2012 - 05/12/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	VALLEJO, CA
IA	06/09/2011 - 11/20/2012	METLIFE SECURITIES INC.	CRD# 14251	WALNUT CREEK, CA
B	03/23/2011 - 11/20/2012	METLIFE SECURITIES INC.	CRD# 14251	WALNUT CREEK, CA

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
08/2015 - Present	BANK OF AMERICA, N.A	FINANCIAL SOLUTIONS ADVISOR	Y	CHAPEL HILL, NC, United States
08/2015 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL SOLUTIONS ADVISOR	Y	CHAPELL HILL, NC, 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*2384315, Entity Type: , Name of OBA: S J D, Address: Wilson, North Carolina, 27893, Investment Related: N, Position, Title, Association: Power of Attorney, Employee State Date: 15-Apr-2025, No Hours: 1 Monthly, No Hours during Trading: 0 Monthly, Duties:



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
Regulatory Event	1
Criminal	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF CALIFORNIA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Revocation Suspension
Date Initiated:	11/13/2012
Docket/Case Number:	LBB 7797-AP (AR)
Employing firm when activity occurred which led to the regulatory action:	METLIFE SECURITIES INC.
Product Type:	Insurance
Allegations:	THE STATE OF CALIFORNIA DEPARTMENT OF INSURANCE(THE "DEPARTMENT") ALLEGES THAT IAN DUBEE ("DUBEE") FAILED TO TIMELY DISCLOSE A 2010 MISDEMEANOR CONVICTION IN VIOLATION OF CALIFORNIA INSURANCE CODE SECTION 1729.2(A) AND 1729.2(D). THE DEPARTMENT FURTHER ALLEGES THAT THERE IS A SUFFICIENT BASIS TO REVOKE OR SUSPEND DUBEE'S LICENSE AND LICENSING RIGHTS WITH THE DEPARTMENT UNDER CALIFORNIA INSURANCE CODE SECTIONS 1668(B), 1668(E), AND 1738. ALLEGATION ACTIVITY PERIOD FROM 12/3/2010 TO 3/24/2011.
Current Status:	Final
Resolution:	Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

02/25/2014

Sanctions Ordered:

Revocation

Broker Statement

ON AUGUST 26, 2013, THE STATE OF CALIFORNIA DEPARTMENT OF INSURANCE (THE "DEPARTMENT") ORDERED THAT DUBEE'S UNRESTRICTED LICENSE TO ACT AS A LIFE-ONLY AND ACCIDENT AND HEALTH AGENT WITH VARIABLE AUTHORITY BE REVOKED. THE REVOCATION IS STAYED FOR A PERIOD OF FOUR YEARS AND A RESTRICTED LICENSE TO ACT AS A LIFE ONLY AND ACCIDENT AND HEALTH AGENT WITH VARIABLE AUTHORITY HAS BEEN ISSUED TO DUBEE BY DECISION AND ORDER ADOPTING PROPOSED DECISION (FILE NO. LBB 7797-AP). PURSUANT TO THE ORDER OF THE DEPARTMENT, DUBEE'S UNRESTRICTED LICENSE WAS REVOKED, AND HE WAS ISSUED A RESTRICTED LICENSE WHICH REQUIRES HIM TO OBEY ALL LAWS AND PROVIDE WRITTEN NOTIFICATION OF ANY FELONY CRIMINAL CHARGE, CONVICTION, OR DISCIPLINARY INVESTIGATION, BUT DOES NOT IN ANY WAY IMPACT HIS ABILITY TO ENGAGE IN THE BUSINESS OF SELLING INSURANCE.



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 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	SUPERIOR COURT OF CALIFORNIA
Location of Court:	CONTRA COSTA COUNTY, CALIFORNIA
Docket/Case #:	151702-8
Charge Date:	12/01/2010
Charge(s) 1 of 1	
Formal Charge(s)/Description:	PC 12280(B) FELONY - POSSESSING ASSAULT WEAPON
No of Counts:	2
Felony or Misdemeanor:	Felony
Plea for each charge:	N/A
Disposition of charge:	Amended
Date of Amended Charge:	03/24/2011
Charge was Amended or reduced to:	PC 12280 - MISDEMEANOR
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	NO CONTEST
Disposition of Amended Charge:	Convicted
Current Status:	Final
Status Date:	07/23/2011
Disposition Date:	03/24/2011
Sentence/Penalty:	TWO YEARS PROBATION AND TWENTY DAYS JAIL



End of Report

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