IAPD Report

RODNEY WAYNE JOHNSON I

CRD# 6180921

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

RODNEY WAYNE JOHNSON I (CRD# 6180921)

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 **07/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	04/18/2019
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	06/12/2019

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	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	Basking Ridge, NJ	04/12/2018 - 03/18/2019
B	PRUCO SECURITIES, LLC.	5685	Basking Ridge, NJ	03/07/2017 - 03/18/2019
B	T3 TRADING GROUP, LLC	154431	NEW YORK, NY	11/07/2014 - 03/04/2015

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	04/30/2019
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/30/2019
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/30/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	04/18/2019
B	FINRA	General Securities Representative	Approved	04/30/2019
B	Nasdaq Stock Market	General Securities Representative	Approved	04/30/2019
B	New York Stock Exchange	General Securities Representative	Approved	04/30/2019
B	Alabama	Agent	Approved	05/02/2024
B	Alaska	Agent	Approved	04/11/2024
B	Arizona	Agent	Approved	04/26/2024
B	Arkansas	Agent	Approved	05/08/2024
B	California	Agent	Approved	01/12/2022
B	Colorado	Agent	Approved	04/11/2024

Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	01/14/2022
B	Delaware	Agent	Approved	11/09/2022
B	District of Columbia	Agent	Approved	08/29/2022
B	Florida	Agent	Approved	06/27/2019
B	Georgia	Agent	Approved	04/25/2022
B	Hawaii	Agent	Approved	05/09/2024
B	Idaho	Agent	Approved	04/11/2024
B	Illinois	Agent	Approved	01/12/2022
B	Indiana	Agent	Approved	09/15/2020
B	Iowa	Agent	Approved	04/11/2024
B	Kansas	Agent	Approved	04/11/2024
B	Kentucky	Agent	Approved	05/08/2024
B	Louisiana	Agent	Approved	01/07/2022
B	Maine	Agent	Approved	04/12/2024
B	Maryland	Agent	Approved	12/08/2020
B	Massachusetts	Agent	Approved	06/10/2022
B	Michigan	Agent	Approved	05/10/2024
B	Minnesota	Agent	Approved	04/11/2024
B	Mississippi	Agent	Approved	04/15/2024

Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	05/17/2024
B	Montana	Agent	Approved	04/11/2024
B	Nebraska	Agent	Approved	04/11/2024
B	Nevada	Agent	Approved	04/11/2024
B	New Hampshire	Agent	Approved	01/10/2022
B	New Jersey	Agent	Approved	06/12/2019
IA	New Jersey	Investment Adviser Representative	Approved	06/12/2019
B	New Mexico	Agent	Approved	04/12/2024
B	New York	Agent	Approved	08/27/2019
B	North Carolina	Agent	Approved	07/01/2019
B	North Dakota	Agent	Approved	04/22/2024
B	Ohio	Agent	Approved	04/11/2024
B	Oklahoma	Agent	Approved	04/16/2024
B	Oregon	Agent	Approved	05/28/2024
B	Pennsylvania	Agent	Approved	01/06/2022
B	Puerto Rico	Agent	Approved	04/29/2024
B	Rhode Island	Agent	Approved	10/04/2022
B	South Carolina	Agent	Approved	01/06/2022

Qualifications

	Regulator	Registration	Status	Date
B	South Dakota	Agent	Approved	04/12/2024
B	Tennessee	Agent	Approved	01/11/2022
B	Texas	Agent	Approved	01/06/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	01/06/2022
B	Utah	Agent	Approved	04/12/2024
B	Vermont	Agent	Approved	04/11/2024
B	Virgin Islands	Agent	Approved	03/17/2022
B	Virginia	Agent	Approved	01/06/2022
B	Washington	Agent	Approved	04/11/2024
B	West Virginia	Agent	Approved	04/15/2024
B	Wisconsin	Agent	Approved	04/16/2024
B	Wyoming	Agent	Approved	04/25/2024

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
7 ROSZEL RD
PRINCETON, NJ 08540

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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	04/30/2019
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/30/2017
B	Proprietary Trader Qualification Examination (S56)	Series 56	03/19/2014

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/30/2018
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/25/2017

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
IA	04/12/2018 - 03/18/2019	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	Basking Ridge, NJ
B	03/07/2017 - 03/18/2019	PRUCO SECURITIES, LLC.	CRD# 5685	Basking Ridge, NJ
B	11/07/2014 - 03/04/2015	T3 TRADING GROUP, LLC	CRD# 154431	NEW YORK, NY
B	05/31/2013 - 11/07/2014	WTS PROPRIETARY TRADING GROUP LLC	CRD# 148117	NEW YORK, NY

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
06/2019 - Present	BANK OF AMERICA, N.A.	Financial Advisor Trainee - FADP	Y	BRIDGEWATER, NJ, United States
03/2019 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Financial Advisor Trainee	Y	BRIDGEWATER, NJ, United States
05/2014 - Present	ROXICYNI TRADING LLC	Partner	Y	Somerset, NJ, United States
10/2018 - 03/2019	BJs Wholesale	Cashier	N	Edison, NJ, United States
03/2017 - 03/2019	The Prudential Insurance Company of America	Financial Advisor	N	BASKING RIDGE, NJ, United States
10/2016 - 03/2019	Pruco Securities, LLC	Registered Representative	Y	BASKING RIDGE, NJ, United States
10/2018 - 10/2018	Amazon.com	FC I	N	Carteret, NJ, 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*122728
For profit or not for profit: For-Profit Organization
Name of outside business organization: ROXICYNI TRADING LLC
Investment related: Y

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Address of business:
Somnerset, New Jersey 08873
Nature of business: LLC,
Position, title, association: Owner,
Start date of relationship: 5/5/2014
Number of hours devoted: 40 hour(s) Monthly
Number of hours devoted during trading hours: 2
Duties: I trade commodity contracts on my own using my funds only

End of Report

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