



IAPD Report

Nathan Alexander Smith

CRD# 6887899

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7

i Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.
For more information read our [investor alert](#) on imposters.



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

Nathan Alexander Smith (CRD# 6887899)

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 **02/09/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	12/14/2020
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	06/06/2023

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **39** 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
------	------	----------	--------------------

No information reported.

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 **39** jurisdiction(s) and 9 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	12/14/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	12/14/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	12/14/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	12/14/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	12/14/2020
B FINRA	General Securities Representative	Approved	12/14/2020
B Investors' Exchange LLC	General Securities Representative	Approved	12/14/2020
B Nasdaq Stock Market	General Securities Representative	Approved	12/14/2020
B New York Stock Exchange	General Securities Representative	Approved	12/14/2020
B Alabama	Agent	Approved	07/03/2023
B Arizona	Agent	Approved	06/06/2023
B California	Agent	Approved	06/06/2023
B Colorado	Agent	Approved	06/06/2023



Qualifications

Regulator	Registration	Status	Date
B Connecticut	Agent	Approved	06/06/2023
B Delaware	Agent	Approved	06/06/2023
B District of Columbia	Agent	Approved	06/06/2023
B Florida	Agent	Approved	06/06/2023
B Georgia	Agent	Approved	06/06/2023
B Illinois	Agent	Approved	06/06/2023
B Indiana	Agent	Approved	07/03/2023
B Kentucky	Agent	Approved	06/06/2023
B Louisiana	Agent	Approved	06/06/2023
B Maine	Agent	Approved	06/06/2023
B Maryland	Agent	Approved	06/06/2023
B Massachusetts	Agent	Approved	06/06/2023
B Michigan	Agent	Approved	06/06/2023
B Minnesota	Agent	Approved	07/03/2023
B Mississippi	Agent	Approved	07/03/2023
B Montana	Agent	Approved	02/09/2024
B Nebraska	Agent	Approved	02/09/2024
B Nevada	Agent	Approved	06/06/2023
B New Hampshire	Agent	Approved	07/03/2023



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	06/06/2023
IA New Jersey	Investment Adviser Representative	Approved	06/06/2023
B New Mexico	Agent	Approved	06/06/2023
B New York	Agent	Approved	06/06/2023
B North Carolina	Agent	Approved	06/06/2023
B Ohio	Agent	Approved	06/06/2023
B Oklahoma	Agent	Approved	07/03/2023
B Pennsylvania	Agent	Approved	06/06/2023
B South Carolina	Agent	Approved	06/06/2023
B Tennessee	Agent	Approved	06/06/2023
B Texas	Agent	Approved	06/06/2023
IA Texas	Investment Adviser Representative	Approved	06/06/2023
B Utah	Agent	Approved	02/09/2024
B Vermont	Agent	Approved	06/06/2023
B Virgin Islands	Agent	Approved	07/03/2023
B Virginia	Agent	Approved	06/06/2023
B Washington	Agent	Approved	06/06/2023
B Wisconsin	Agent	Approved	06/06/2023



Qualifications

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
101 HUDSON ST
JERSEY CITY, NJ 07302



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
------	----------	------

General Securities Representative Examination (S7TO)	Series 7TO	12/14/2020
--	------------	------------

Securities Industry Essentials Examination (SIE)	SIE	03/13/2020
--	-----	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Combined State Law Examination (S66)	Series 66	06/05/2023
--	-----------	------------

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:

No information reported.

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
02/2019 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Client Associate PR	Y	Jersey City, NJ, United States
08/2015 - 05/2019	Fairleigh Dickinson University	Student	N	Madison, NJ, United States
12/2018 - 02/2019	Briad Restaurant Group	Host	N	Morris Plains, NJ, United States
10/2018 - 02/2019	Morgan Stanley	Intern	Y	New York, NY, United States
06/2018 - 08/2018	Certified Financial Services	Intern	Y	Paramus, NJ, United States
12/2017 - 06/2018	Merrill Lynch, Pierce, Fenner & Smith Incorporated	Intern	Y	Florham Park, NJ, United States
09/2016 - 01/2017	Columbia Bank	Part Time Teller	N	Kinnelon, NJ, United States
01/2014 - 08/2015	The Great Atlantica and Pacific Tea Company	Cashier	N	Hewitt, NJ, United States
09/2011 - 06/2015	West Milford Highschool	Student	N	West Milford, 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.

No information reported.



End of Report

This page is intentionally left blank.