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BrokerCheck Report **GERRAD JAMES FLETCHER**

CRD# 1230878

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GERRAD J. FLETCHER

CRD# 1230878

Currently employed by and registered with the following Firm(s):

B **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
100 WILSHIRE BLVD
SANTA MONICA, CA 90401
CRD# 7691
Registered with this firm since: 02/23/1984

IA **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
100 WILSHIRE BLVD
SANTA MONICA, CA 90401
CRD# 7691
Registered with this firm since: 05/22/1990

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 10 Self-Regulatory Organizations
- 31 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities and Trading firm(s):

1. Etoro
2. Binance Exchange
3. Coinscord
4. Tradestation
5. Bybit Exchange
6. TD Ameritrade
7. Fidelity
8. Charles Schwab
9. Interactive Brokers
10. E*TRADE
11. Coinzolo

Portfolio / Closures

Portfolio volume: \$67,093,384

Closure: 6474

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 10 SROs and is licensed in 31 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

Main Office Address: **ONE BRYANT PARK
NEW YORK, NY 10036**

Firm CRD#: **7691**

SRO	Category	Status	Date
B Cboe BYX Exchange, Inc.	General Securities Representative	APPROVED	05/09/2014
B Cboe BZX Exchange, Inc.	General Securities Representative	APPROVED	05/09/2014
B Cboe EDGA Exchange, Inc.	General Securities Representative	APPROVED	05/09/2014
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	APPROVED	05/29/2014
B Cboe EDGX Exchange, Inc.	General Securities Representative	APPROVED	05/09/2014
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	APPROVED	05/29/2014
B Cboe Exchange, Inc.	General Securities Sales Supervisor	APPROVED	05/02/1984
B Cboe Exchange, Inc.	General Securities Representative	APPROVED	03/03/1991
B FINRA	General Securities Representative	APPROVED	02/24/1984
B FINRA	General Securities Sales Supervisor	APPROVED	05/02/1984
B Investors' Exchange LLC	General Securities Representative	APPROVED	08/16/2016
B Nasdaq PHLX LLC	General Securities Representative	APPROVED	10/16/1993
B Nasdaq PHLX LLC	General Securities Sales Supervisor	APPROVED	02/04/2009
B Nasdaq Stock Market	General Securities Representative	APPROVED	07/12/2006
B Nasdaq Stock Market	General Securities Sales Supervisor	APPROVED	07/12/2006

Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B New York Stock Exchange	General Securities Representative	APPROVED	02/23/1984
B New York Stock Exchange	General Securities Sales Supervisor	APPROVED	10/01/2018

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	APPROVED	01/09/1998
B Arizona	Agent	APPROVED	04/26/1993
B California	Agent	APPROVED	12/04/1985
IA California	Investment Adviser Representative	APPROVED	07/08/1997
B Colorado	Agent	APPROVED	05/02/2013
B Connecticut	Agent	APPROVED	02/12/1997
B District of Columbia	Agent	APPROVED	02/28/2013
B Florida	Agent	APPROVED	01/22/1991
B Hawaii	Agent	APPROVED	02/27/1990
B Illinois	Agent	APPROVED	11/19/2019
B Indiana	Agent	APPROVED	08/14/2007
B Maryland	Agent	APPROVED	03/28/1985
B Massachusetts	Agent	APPROVED	06/30/2015
B Michigan	Agent	APPROVED	01/17/2020
B Missouri	Agent	APPROVED	07/27/2020
B Nebraska	Agent	APPROVED	07/24/2013
B Nevada	Agent	APPROVED	07/20/2004
B New Hampshire	Agent	APPROVED	11/03/2020

Broker Qualifications

Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B New Jersey	Agent	APPROVED	04/22/1994
B New York	Agent	APPROVED	09/26/1984
B North Carolina	Agent	APPROVED	11/04/2009
B Oregon	Agent	APPROVED	08/04/1992
B Pennsylvania	Agent	APPROVED	01/09/1998
B South Carolina	Agent	APPROVED	09/01/2009
B South Dakota	Agent	APPROVED	04/18/2007
B Tennessee	Agent	APPROVED	03/05/1998
B Texas	Agent	APPROVED	08/14/2009
IA Texas	Investment Adviser Representative	APPROVED	08/17/2009
B Utah	Agent	APPROVED	05/24/2021
B Virginia	Agent	APPROVED	03/21/2002
B Washington	Agent	APPROVED	06/03/1991
B West Virginia	Agent	APPROVED	02/13/1996
B Wisconsin	Agent	APPROVED	02/08/1996

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	04/27/1984

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	11/01/1985
B Foreign Currency Options Examination	Series 15	06/05/1984
B General Securities Representative Examination	Series 7	02/18/1984

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/26/1994
B Uniform Securities Agent State Law Examination	Series 63	09/25/1984

Broker Qualifications

Professional Designations

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

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
No information reported.			

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/2009 - Present	BANK OF AMERICA, NA	WEALTH MANAGEMENT ADVISOR	Y	SANTA MONICA, CA, United States
07/1979 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	OTHER - SALES MANAGER	Y	LOS ANGELOS, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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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