

BrokerCheck Report

JOHN M MCCARDELL III

CRD# 4768494

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Please be aware that fraudsters may link to BrokerCheck 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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

JOHN M. MCCARDELL III

CRD# 4768494

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

B **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 620 S TRYON ST
 CHARLOTTE, NC 28255
 CRD# 7691
 Registered with this firm since: 04/19/2004

IA **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 1301 GERVAIS ST
 COLUMBIA, SC 29201
 CRD# 7691
 Registered with this firm since: 05/13/2004

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:**

- 9 Self-Regulatory Organizations
- 42 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History**This broker was previously registered with the following securities firm(s):**

No information reported.

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



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 9 SROs and is licensed in 42 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	05/16/2014
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/16/2014
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/16/2014
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/16/2014
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/19/2004
B	FINRA	General Securities Representative	Approved	04/19/2004
B	Investors' Exchange LLC	General Securities Representative	Approved	08/22/2016
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	05/31/2004

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/08/2009
B	Arizona	Agent	Approved	02/25/2010
B	Arkansas	Agent	Approved	05/13/2019
B	California	Agent	Approved	12/20/2006



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	02/23/2021
B	Colorado	Agent	Approved	01/02/2008
B	Connecticut	Agent	Approved	01/03/2008
B	Delaware	Agent	Approved	12/07/2012
B	District of Columbia	Agent	Approved	12/20/2006
B	Florida	Agent	Approved	12/20/2006
B	Georgia	Agent	Approved	12/20/2006
B	Hawaii	Agent	Approved	08/16/2017
B	Illinois	Agent	Approved	12/20/2006
B	Indiana	Agent	Approved	07/13/2020
B	Iowa	Agent	Approved	07/29/2014
B	Kentucky	Agent	Approved	12/20/2006
B	Louisiana	Agent	Approved	09/13/2011
B	Maryland	Agent	Approved	12/20/2006
B	Massachusetts	Agent	Approved	12/20/2006
B	Michigan	Agent	Approved	02/17/2009
B	Minnesota	Agent	Approved	03/12/2008
B	Mississippi	Agent	Approved	11/14/2016
B	Missouri	Agent	Approved	01/25/2021
B	Montana	Agent	Approved	07/19/2019
B	Nevada	Agent	Approved	04/20/2017



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Hampshire	Agent	Approved	12/20/2006
B	New Jersey	Agent	Approved	12/20/2006
B	New York	Agent	Approved	12/20/2006
B	North Carolina	Agent	Approved	01/07/2005
IA	North Carolina	Investment Adviser Representative	Approved	10/01/2013
B	Ohio	Agent	Approved	04/12/2013
B	Oklahoma	Agent	Approved	10/18/2021
B	Oregon	Agent	Approved	09/04/2013
B	Pennsylvania	Agent	Approved	01/03/2007
B	Rhode Island	Agent	Approved	03/16/2017
B	South Carolina	Agent	Approved	05/11/2004
IA	South Carolina	Investment Adviser Representative	Approved	05/13/2004
B	South Dakota	Agent	Approved	08/29/2022
B	Tennessee	Agent	Approved	12/20/2006
B	Texas	Agent	Approved	04/01/2015
IA	Texas	Investment Adviser Representative	Restricted Approval	04/02/2015
B	Utah	Agent	Approved	11/11/2021
B	Vermont	Agent	Approved	08/05/2004
B	Virginia	Agent	Approved	12/20/2006
B	Washington	Agent	Approved	12/20/2006
B	Wisconsin	Agent	Approved	12/20/2006



Broker Qualifications

Employment 1 of 1, continued

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
620 S TRYON ST
CHARLOTTE, NC 28255

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
1301 GERVAIS ST
COLUMBIA, SC 29201



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 0 principal/supervisory exams, 3 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
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	05/25/2004
B General Securities Representative Examination	Series 7	04/16/2004

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	05/10/2004

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



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
12/2009 - Present	BANK OF AMERICA, N.A.	SENIOR FINANCIAL ADVISOR	Y	CHARLOTTE, NC, United States
02/2004 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SENIOR FINANCIAL ADVISOR	Y	CHARLOTTE, NC, 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.

I*554240For profit or not for profit: Entity For Profit

Name of outside business organization: Columbia Capital XV LLC

Investment related: Y

Address of business: Charlotte, NC, 28207

Nature of business: ["Limited Liability Company"]

Position, title, association: ["General Partner/Managing Member"],

Start date of relationship: 10/25/2021

Number of hours devoted: 1 hour I*136737For-Profit Organization

Name: The Rare Chinchillas LLCInvestment related: Y

Address of business:

Charlotte,NC 28207

Nature of business: LLC,Managing Member

Start date of relationship: 3/31/2021

Number of hours devoted: 2 hour(s) Annually

Number of hours devoted during trading hours: 2



Registration and Employment History

Other Business Activities, continued

Duties: This is going to be a holding LLC to invest in Riverside Technology Capital Solutions Fund II. I did Fund I and I am including my brother and father, which is why we are opening the LLC.

I*88115For-Profit Organization

Name: Columbia Capital X LLC

Investment related: Y

Address of business:

Columbia, SC 29206

Nature of business: LLC,Limited Partner,

Start date of relationship: 11/12/2015

Number of hours devoted: 1 hour(s) Annually

Number of hours devoted during trading hours: 1

Duties: LLC Setup to house investment Tiger Global PIP X LP with partners

NON PROFIT

NAME: COLUMBIA MUSEUM OF ART

ADDRESS OF BUSINESS:

ADVISORY BOARD MEMBER

START DATE OF RELATIONSHIP: 09/01/2010NUMBER OF HOURS DEVOTED PER MONTH: 2

DUTIES: I AM A FUNDRAISER FOR THE YOUNG CONTEMPORARIES BOARD I*80028For-Profit Organization

Name: Otter Creek Investments LLCInvestment related: Y

Address of business:

Charlotte, NC 28207

Nature of business: LLC,Owner, Start date of relationship: 4/2/2015Number of hours devoted: 0 hour(s) Annually

Number of hours devoted during trading hours: 0

Duties: To purchase private placements with possible recourse.I*85816 For-Profit Organization

Name: Mystic Knights of the Sea LLC

Investment related: Y

Address of business:

Charlotte, NC 28207

Nature of business: LLC,Owner,

Start date of relationship: 10/1/2015

Number of hours devoted: 0 hour(s) Annually

Number of hours devoted during trading hours: 0

Duties: An LLC with my father and myself only to invest in Falfurrias Capital Fund III I*92795For-Profit Org.

Name: The Lodge Hall LLCInvestment related: Y

Address of business:Charlotte, NC 28207 Nature of business: LLC,Position, title, association: Limited Partner, Start date of relationship:

5/2/2016Number of hours devoted: 0 hour(s) Annually

Number of hours devoted during trading hours: 0

Duties: This is a shell company to invest in Lexus IV Fund via preivate equity. I*52212 For-Profit Organization

Name: Columbia Capital VII, LLCInvestment related: Y Address of business:, Columbia, SC 29206Nature of business: LLC,Ltd Partner, Start date

of relationship: 2/27/2012No. of hours devoted: 0 hour(s) Annually

Number of hours devoted during trading hours: 0

Duties: LLC for investments with partners

I*116674For-Profit OrganizationMMM Capitlal Partners LLCYCharlotte, NC 28207LLC,Limited Partner, 8/31/20181 hour(s) Quarterly0Private



Registration and Employment History

Other Business Activities, continued

equity investment

I*119257 For-Profit Organization Columbia Capital IX Y Columbia, SC 29206 LLC,

Other, Limited Parter

6/29/2015

1 hour(s) Annually 0 LLC for Tiger IX which is AIM approved.

I*119255 For-Profit Organization Columbia Capital VIII Y Columbia, SC 29206 LLC, Other, Limited Partner

4/7/2014 1 hour(s) Annually 0

LLC to invest in Tiger PIP VIII

I*129199 For-Profit Organization

Name: Columbia Capital XII LLC

Investment related: Y Address of business: Charlotte, NC 28207 Nature of business: LLC,

General Partner,

Start date of relationship: 1/24/2020 Number of hours devoted: 2 hour(s) Annually Number of hours devoted during trading hours: 0

Duties: Investing in Tiger Global PIP XII

I*136379 For-Profit Organization

Columbia Capital XIV LLC Investment rela

I*1139250 Entity for profit, Columbia Capital XVI LLC, N, Columbia, SC 29206, General Partner/Managing Member", 1/16/2023, 1 hour(s) Mthly, 0

Investment into Tiger PIP 16 and I am the LLC managing member

End of Report



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