

BrokerCheck Report

S WESLEY CARPENTER

CRD# 4789118

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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.

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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)



S WESLEY CARPENTER

CRD# 4789118

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

IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
601 N SECTION ST
FAIRHOPE, AL 36532
CRD# 7691
Registered with this firm since: 03/08/2007

B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
601 N SECTION ST
FAIRHOPE, AL 36532
CRD# 7691
Registered with this firm since: 03/08/2007

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
- 53 U.S. states and territories

This broker has passed:

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

Registration History

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

- B AMERIPRISE FINANCIAL SERVICES, INC.**
CRD# 6363
BIRMINGHAM, AL
10/2004 - 03/2007
- IA AMERIPRISE FINANCIAL SERVICES, INC.**
CRD# 6363
MINNEAPOLIS, MN
10/2004 - 03/2007
- B IDS LIFE INSURANCE COMPANY**
CRD# 6321
MINNEAPOLIS, MN
10/2004 - 07/2006

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 53 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	05/13/2014
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/13/2014
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/13/2014
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	05/30/2014
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/13/2014
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	06/05/2014
B Cboe Exchange, Inc.	General Securities Representative	Approved	03/08/2007
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	05/30/2014
B FINRA	General Securities Representative	Approved	03/08/2007
B FINRA	General Securities Sales Supervisor	Approved	03/10/2014
B Investors' Exchange LLC	General Securities Representative	Approved	08/17/2016
B Nasdaq Stock Market	General Securities Representative	Approved	03/08/2007
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	05/30/2014
B New York Stock Exchange	General Securities Representative	Approved	03/08/2007
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/08/2007
IA	Alabama	Investment Adviser Representative	Approved	03/08/2007
B	Alaska	Agent	Approved	03/25/2014
B	Arizona	Agent	Approved	03/13/2012
B	Arkansas	Agent	Approved	03/13/2012
B	California	Agent	Approved	03/13/2012
B	Colorado	Agent	Approved	03/25/2014
B	Connecticut	Agent	Approved	03/25/2014
B	Delaware	Agent	Approved	03/25/2014
B	District of Columbia	Agent	Approved	03/25/2014
B	Florida	Agent	Approved	05/11/2007
B	Georgia	Agent	Approved	01/18/2008
B	Hawaii	Agent	Approved	03/25/2014
B	Idaho	Agent	Approved	03/13/2012
B	Illinois	Agent	Approved	03/25/2014
B	Indiana	Agent	Approved	03/13/2012
B	Iowa	Agent	Approved	03/25/2014
B	Kansas	Agent	Approved	03/25/2014
B	Kentucky	Agent	Approved	03/13/2012
B	Louisiana	Agent	Approved	03/13/2012
B	Maine	Agent	Approved	03/25/2014



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Maryland	Agent	Approved	03/25/2014
B	Massachusetts	Agent	Approved	03/25/2014
B	Michigan	Agent	Approved	03/25/2014
B	Minnesota	Agent	Approved	03/25/2014
B	Mississippi	Agent	Approved	03/13/2012
B	Missouri	Agent	Approved	03/25/2014
B	Montana	Agent	Approved	03/25/2014
B	Nebraska	Agent	Approved	03/25/2014
B	Nevada	Agent	Approved	03/25/2014
B	New Hampshire	Agent	Approved	03/25/2014
B	New Jersey	Agent	Approved	03/13/2013
B	New Mexico	Agent	Approved	03/25/2014
B	New York	Agent	Approved	11/01/2012
B	North Carolina	Agent	Approved	03/14/2012
B	North Dakota	Agent	Approved	03/25/2014
B	Ohio	Agent	Approved	07/16/2007
B	Oklahoma	Agent	Approved	03/25/2014
B	Oregon	Agent	Approved	03/25/2014
B	Pennsylvania	Agent	Approved	03/13/2012
B	Puerto Rico	Agent	Approved	03/13/2012
B	Rhode Island	Agent	Approved	03/25/2014



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	South Carolina	Agent	Approved	03/25/2014
B	South Dakota	Agent	Approved	03/25/2014
B	Tennessee	Agent	Approved	03/13/2012
B	Texas	Agent	Approved	05/10/2007
IA	Texas	Investment Adviser Representative	Approved	05/10/2007
B	Utah	Agent	Approved	03/25/2014
B	Vermont	Agent	Approved	03/25/2014
B	Virgin Islands	Agent	Approved	03/25/2014
B	Virginia	Agent	Approved	03/25/2014
B	Washington	Agent	Approved	03/13/2012
B	West Virginia	Agent	Approved	03/25/2014
B	Wisconsin	Agent	Approved	03/25/2014
B	Wyoming	Agent	Approved	03/25/2014

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 601 N SECTION ST
 FAIRHOPE, AL 36532



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	03/10/2014
B General Securities Sales Supervisor - Options Module Examination	Series 9	02/24/2014

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	03/11/2016
B Futures Managed Funds Examination	Series 31	10/06/2008
B General Securities Representative Examination	Series 7	10/26/2004

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/04/2004

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
B 10/2004 - 03/2007	AMERIPRISE FINANCIAL SERVICES, INC.	6363	BIRMINGHAM, AL
IA 10/2004 - 03/2007	AMERIPRISE FINANCIAL SERVICES, INC.	6363	BIRMINGHAM, AL
B 10/2004 - 07/2006	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

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
04/2011 - Present	BANK OF AMERICA, N.A.	Resident Director	Y	FAIRHOPE, AL, United States
02/2007 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Resident Director	Y	FAIRHOPE, AL, 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*558240

For profit or not for profit: Entity For Profit

Name of outside business organization: Uptick Group, LLC

Investment related: Y

Address of business: Point Clear, Alabama, 36564

Nature of business: ["Limited Liability Company"]

Position, title, association: ["Owner"],

Start date of relationship: 10/20/2021

Number of hours devoted: 2 hour(s) Monthly

Number of hours devoted during trading hours: 0

Duties: , This LLC will hold my real estate which is rental property and land.



Registration and Employment History

Other Business Activities, continued

I*135699
For profit or not for profit: For-Profit Organization
Name of outside business organization: Coastal Trading Company, LLC d/b/a Finco
Investment related: N
Address of business:
Fairhope, Alabama 36532
Nature of business: Partnership,
Position, title, association: Owner,
Start date of relationship: 1/29/2021
Number of hours devoted: 4 hour(s) Monthly
Number of hours devoted during trading hours: 0
Duties: I am buying into a LLC that is in the business of fishing shirts and hats. This is a domestic company. I will be a 25 percent owner of the company.

I*510035
For profit or not for profit:
Name of outside business organization: Rental Property 1
Investment related: N
Address of business: Orange Beach, Alabama, 36561
Nature of business:
Position, title, association: Sole owner,
Start date of relationship: 7/15/2021
Number of hours devoted: 1 hour(s) Yearly
Number of hours devoted during trading hours: 0
Duties:

I*973626
For profit or not for profit: Entity Charitable
Name of outside business organization: Community Foundation of South Alabama
Investment related: N
Address of business: Mobile, Alabama, 36602
Nature of business: ["Charitable Organization"]
Position, title, association: ["Board Member"],
Start date of relationship: 9/1/2022
Number of hours devoted: 2 hour(s) Monthly
Number of hours devoted during trading hours: 1
Duties: This is a Community Foundation designed to help and support other non-profits organizations in the community. I am board member that gets a vote on some financial decisions. I do not hold a financial relationship with the organization. I am only a voting board member

End of Report



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