

## BrokerCheck Report

# JAMES GERARD SPANARKEL

CRD# 1160281

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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)

**JAMES G. SPANARKEL**

CRD# 1160281

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

**IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 115 W CENTURY RD  
 PARAMUS, NJ 07652  
 CRD# 7691  
 Registered with this firm since: 06/17/1986

**B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 115 W CENTURY RD  
 PARAMUS, NJ 07652  
 CRD# 7691  
 Registered with this firm since: 12/27/1984

**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:**

- 6 Self-Regulatory Organizations
- 18 U.S. states and territories

**This broker has passed:**

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

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

**B CUSACK, LIGHT & COMPANY, INC.**  
 CRD# 13383  
 12/1983 - 12/1984

**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 6 SROs and is licensed in 18 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**

	<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/14/2014
<b>B</b>	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/14/2014
<b>B</b>	Cboe Exchange, Inc.	General Securities Representative	Approved	03/03/1991
<b>B</b>	FINRA	General Securities Representative	Approved	12/27/1984
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	04/27/1985

	<b>U.S. State/ Territory</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Arizona	Agent	Approved	03/12/2014
<b>B</b>	Arkansas	Agent	Approved	10/11/2017
<b>B</b>	California	Agent	Approved	08/19/1987
<b>B</b>	Colorado	Agent	Approved	08/03/1993
<b>B</b>	Florida	Agent	Approved	05/22/1986
<b>B</b>	Georgia	Agent	Approved	03/15/1996
<b>B</b>	Illinois	Agent	Approved	09/10/2012



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Maryland	Agent	Approved	07/23/1986
B	Massachusetts	Agent	Approved	08/11/1988
B	New Hampshire	Agent	Approved	03/02/2021
B	New Jersey	Agent	Approved	12/28/1984
IA	New Jersey	Investment Adviser Representative	Approved	02/20/2004
B	New York	Agent	Approved	03/07/1985
B	North Carolina	Agent	Approved	02/20/1992
B	Pennsylvania	Agent	Approved	01/30/1987
B	South Carolina	Agent	Approved	03/26/2021
B	Tennessee	Agent	Approved	03/28/2023
B	Texas	Agent	Approved	01/06/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	08/21/2007
B	Virginia	Agent	Approved	01/28/2000

### Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 115 W CENTURY RD  
 PARAMUS, NJ 07652



## 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. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 0 principal/supervisory exams, 3 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination	Series 31	09/21/2004
<b>B</b> General Securities Representative Examination	Series 7	08/20/1983

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	10/26/1994
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/06/1985

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/](http://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

### Other Business Activities, continued

BUSINESS: CORPORATION, POSITION, TITLE, ASSOCIATION: PART-TIME, START DATE OF RELATIONSHIP: 39443 NUMBER OF HOURS DEVOTED: 10 HOUR(S) MONTHLY NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0 DUTIES: OTHER I\*32768 FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATION NAME OF OUTSIDE BUSINESS ORGANIZATION: THE YES NETWORK INVESTMENT RELATED: N ADDRESS OF BUSINESS: NEW YORK, NEW YORK 10174 NATURE OF BUSINESS: OTHER, CORPORATION POSITION, TITLE, ASSOCIATION: PART-TIME, START DATE OF RELATIONSHIP: 39387 NUMBER OF HOURS DEVOTED: 20 HOUR(S) MONTHLY NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0 DUTIES: OTHER I\*1515326 For profit or not for profit: Name of outside business organization: NBRPA Marketing Inc Investment related: N Address of business: , , , Nature of business: Position, title, association: , Start date of relationship: Number of hours devoted: hour(s) Number of hours devoted during trading hours: Duties: , NBA retired players association that pays out yearly royalties on marketing items

I\*3486271

Entity Type: Entity For Profit, Entity Publicly Traded

Name of OBA: Warner Brothers Discovery Turner Broadcasting

Address: Atlanta, Georgia, 30318

Investment Related: No

Position, Title, Association: Consultant/Independent Contractor

Employee Start Date: 12/01/2025

Number of Hours: 6, Monthly

Number of Hours during trading: 0, Monthly

Duties: broadcasting basketball Games I broadcast college basketball games for them

## End of Report



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