BrokerCheck Report

JOHN F ERDMANN III

CRD# 1427252

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.
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Thank you for using FINRA BrokerCheck.

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.

JOHN F. ERDMANN III

CRD# 1427252

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

IA **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
2 PICKWICK PLZ
PBIG - GREENWICH
GREENWICH, CT 06830
CRD# 7691
Registered with this firm since: 05/29/1992

B **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
2 PICKWICK PLZ
PBIG - GREENWICH
GREENWICH, CT 06830
CRD# 7691
Registered with this firm since: 11/20/1985

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
- 47 U.S. states and territories

This broker has passed:

- 3 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):

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 6 SROs and is licensed in 47 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 Exchange, Inc.	General Securities Representative	Approved	03/03/1991
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	01/16/1992
B	FINRA	General Securities Representative	Approved	11/20/1985
B	FINRA	General Securities Sales Supervisor	Approved	01/16/1992
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	01/06/1986
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/28/2012
B	Arizona	Agent	Approved	02/04/1997
B	Arkansas	Agent	Approved	02/24/2025

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	04/30/1987
B	Colorado	Agent	Approved	02/25/2010
B	Connecticut	Agent	Approved	11/25/1985
IA	Connecticut	Investment Adviser Representative	Approved	05/29/1992
B	Delaware	Agent	Approved	10/04/2010
B	District of Columbia	Agent	Approved	02/24/2014
B	Florida	Agent	Approved	01/13/1987
IA	Florida	Investment Adviser Representative	Approved	04/29/2024
B	Georgia	Agent	Approved	05/09/1994
B	Hawaii	Agent	Approved	10/30/2003
B	Idaho	Agent	Approved	07/09/2018
B	Illinois	Agent	Approved	11/18/1987
B	Indiana	Agent	Approved	09/13/2013
B	Iowa	Agent	Approved	07/09/2024
B	Kansas	Agent	Approved	09/23/2013
B	Kentucky	Agent	Approved	09/23/2013
B	Louisiana	Agent	Approved	10/08/2019
B	Maine	Agent	Approved	03/18/2016
B	Maryland	Agent	Approved	04/08/1986
B	Massachusetts	Agent	Approved	01/13/1987
B	Michigan	Agent	Approved	01/04/2013

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Minnesota	Agent	Approved	02/10/2005
B	Missouri	Agent	Approved	09/24/2013
B	Montana	Agent	Approved	02/07/2011
B	Nebraska	Agent	Approved	01/20/2015
B	Nevada	Agent	Approved	06/06/2008
B	New Hampshire	Agent	Approved	05/07/1986
B	New Jersey	Agent	Approved	12/06/1985
B	New Mexico	Agent	Approved	04/04/2008
B	New York	Agent	Approved	12/24/1985
B	North Carolina	Agent	Approved	09/14/1998
B	Ohio	Agent	Approved	03/11/2009
B	Oregon	Agent	Approved	12/20/2018
B	Pennsylvania	Agent	Approved	12/26/1985
B	Puerto Rico	Agent	Approved	03/24/2026
B	Rhode Island	Agent	Approved	01/20/2015
B	South Carolina	Agent	Approved	11/16/1995
B	Tennessee	Agent	Approved	04/12/2010
B	Texas	Agent	Approved	02/28/1997
IA	Texas	Investment Adviser Representative	Restricted Approval	02/28/1997
B	Utah	Agent	Approved	11/13/2001
B	Vermont	Agent	Approved	06/15/1988

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	08/28/1986
B	Washington	Agent	Approved	01/16/2003
B	West Virginia	Agent	Approved	04/27/2020
B	Wisconsin	Agent	Approved	05/11/2010
B	Wyoming	Agent	Approved	09/20/2002

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
2 PICKWICK PLZ
PBIG - GREENWICH
GREENWICH, CT 06830

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Boca Grande, FL

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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	12/23/1991

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Futures Managed Funds Examination	Series 31	07/02/1997
B	General Securities Representative Examination	Series 7	11/16/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	06/02/2005
B	Uniform Securities Agent State Law Examination	Series 63	12/23/1985

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/.

Broker Qualifications

Professional Designations

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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
06/2011 - Present	BANK OF AMERICA, N.A.	Private Wealth Advisor	Y	GREENWICH, CT, United States
09/1985 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	NOT PROVIDED	Y	GREENWICH, CT, 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*128795 For-Profit Name : Erdherd LLCInvestment related: YAddress: Norwalk, Connecticut 06854 Nature: LLC Position: General Partner Start date: 12/19/2019Number of hours devoted: 10 hour(s) MonthlyNumber of hours devoted during trading hours: 10Duties: entity is a non-operating family investment vehicle - 50% Member entity established solely for family investment with no third party investors

MARITIME AQUARIUM, NORWALK, CT; NON-INVESTMENT RELATED; COMMENCE DATE: 09/25/2006; 7 HRS MTHLY, NONE DURING TRADING HRS; ADVISORY BOARD MEMBER

I*101021 FOR-PROFIT NAME : TRUSTEEINVESTMENT RELATED: NADDRESS: NORWALK, CONNECTICUT 06854NATURE: TRUST, POSITION: TRUSTEE, START DATE : 41260NUMBER OF HOURS: 1 HOUR(S) ANNUALLYHOURS DEVOTED DURING TRADING HOURS: 1DUTIES: TRUSTEE ROLE

I*135269 For-Profit Name: Triple Sticks LLC Investment related: YAddress: Houston, Texas 77002Natures: LLC,Position: Other, Authorized signer Start: 12/23/2020Number of hours: 10 hour(s) Annually hours during trading : 0Duties: Entity established for Liability protection purposes for Land purchased in Colorado and gifted to a new LLCTriple Sticks LLC - that will be a manager run partnership LLC with Triple Sticks Corp as the Manager & Member with The TCW Erdmann Family Tr

Registration and Employment History

Other Business Activities, continued

I*135267 For-Profit Name: Tripple Sticks CorpInvestment related: YAddress: Houston, Texas 77002Nature: Corporation,Position: Other, Authorized Signer Start : 12/23/2020 hours devoted: 10 hrs Annually hours during trading : 0Duties: Entity established for Liability protection purposes for Land purchased in Colorado and gifted to a new LLCTriple Sticks LLC - I will be a manager run partnership LLC with Triple Sticks Corp as the Manager & Member with The TCW Erdmann Family Trust

I*1540269Entity For Profit Name: Triple Sticks TCW, LLCInvestment related: NAddress of business: Oak Creek, Colorado, 80467Nature: Limited Liability CompanyPosition: Owner Start date: 11/1/2023 hours devoted: 1 hr Yearlyhours during trading : 0Duties: , LLC that owns a property which I, the owner of the LLC will rent as a rental property.

I*, Entity Type Fiduciary Role, Name: Estate of J F. E II Address: New Canaan, Connecticut, 06840 Investment Related: Yes Positio: Executor Start: 06/06/ 2023 No Hours: 1 yearly No Hours during trading: 0 Duties: ExecutorI*, Entity Type Fiduciary Role, Name: Est of J F. E II FBO T H. E Art. 6th Sec 3 Address: New Canaan, Connecticut, 06840 Investment Related: Yes Position: Co-Trustee Employee Start: 06/12/ 2024 No Hours: 10 yearly No Hours during trading: 0 Duties: Co-Trustee

I*: 2109331Entity Type: Fiduciary RoleName of OBA: C. M. S. Residuary TrustAddress: NORWALK, CONNECTICUTInvestment Related: NoPosition, Title, Association: TrusteeEmployee Start Date: 11/27/2024Number of Hours: 0Number of Hours during trading: 0Duties: Independent Trustee

I*3833303Type: N/AName: Loan Agreement B/t F R & J F EAddress: Oak Creek, COInvestment Related: NoPosition: N/AStart Date: 02/25/2026Hours: 0, YearlyHours during trading: 0, YearlyDuties: Loan receivable due to Jeff from family friend, F R Loan

I*4245273, For Profit, Name of OBA: Triple Sticks TCW, LLC, Address: Oak Creek, Colorado, 80467, Investment Related: N, Position: Other, Employee Start Date: 05/01/2026, No Hours: 0 Yearly, No Hours during Trading: 0 Yearly, Duties: J F. E III, as Authorized Manager for Triple Sticks TCW, LLC, a Colorado limited liability company, the Lessor. LLC to protect liability interest for rental property

I*4624356, Entity Type: , Name: Live Like C- A Collaborative Book Agreement, Address: Norwalk, Connecticut, 06854, Investment Related: N, Position, Title, Association: coach and storytelling partner, Employee Start Date: 06/01/2026, No Hours: 5 Monthly, No Hours during Trading: 0 Monthly, Duties: See above, S B will serve as sole author of the book, LIVE LIKE C, whereby J and B will serve as the custodians of C's story with J serving as coach and storytelling partner.

End of Report

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