

## BrokerCheck Report

### Huey LEE Richardson

CRD# 3253878

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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)



## Huey L. Richardson

CRD# 3253878

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

**IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 ONE BRYANT PARK  
 INVESTMENT SOLUTIONS GROUP  
 NEW YORK, NY 10036  
 CRD# 7691  
 Registered with this firm since: 08/28/2015

**B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 ONE BRYANT PARK  
 INVESTMENT SOLUTIONS GROUP  
 NEW YORK, NY 10036  
 CRD# 7691  
 Registered with this firm since: 04/10/2014

## 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
- 53 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

- B RAFFERTY CAPITAL MARKETS, LLC**  
 CRD# 23682  
 NEW YORK, NY  
 04/2011 - 11/2012
- B LEGG MASON INVESTOR SERVICES, LLC**  
 CRD# 109064  
 NEW YORK, NY  
 04/2009 - 09/2009
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 CRD# 7691  
 NEW YORK, NY  
 02/2007 - 07/2008

### 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 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**

	<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/06/2014
<b>B</b>	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	05/19/2014
<b>B</b>	Cboe BYX Exchange, Inc.	Securities Trader	Approved	01/04/2016
<b>B</b>	Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	02/05/2016
<b>B</b>	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/06/2014
<b>B</b>	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	05/19/2014
<b>B</b>	Cboe BZX Exchange, Inc.	Securities Trader	Approved	01/04/2016
<b>B</b>	Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	02/05/2016
<b>B</b>	Cboe Exchange, Inc.	General Securities Representative	Approved	04/10/2014
<b>B</b>	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	05/30/2014
<b>B</b>	Cboe Exchange, Inc.	Securities Trader	Approved	01/04/2016
<b>B</b>	Cboe Exchange, Inc.	Securities Trader Principal	Approved	02/05/2016
<b>B</b>	Cboe Exchange, Inc.	General Securities Principal	Approved	07/06/2021
<b>B</b>	FINRA	General Securities Principal	Approved	04/10/2014
<b>B</b>	FINRA	General Securities Representative	Approved	04/10/2014



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
B FINRA	General Securities Sales Supervisor	Approved	04/10/2014
B FINRA	Securities Trader	Approved	01/04/2016
B FINRA	Securities Trader Principal	Approved	02/05/2016
B Nasdaq Stock Market	General Securities Principal	Approved	04/10/2014
B Nasdaq Stock Market	General Securities Representative	Approved	04/10/2014
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	05/30/2014
B Nasdaq Stock Market	Securities Trader	Approved	01/04/2016
B Nasdaq Stock Market	Securities Trader Principal	Approved	02/05/2016
B New York Stock Exchange	General Securities Principal	Approved	04/10/2014
B New York Stock Exchange	General Securities Representative	Approved	04/10/2014
B New York Stock Exchange	Securities Trader	Approved	01/04/2016
B New York Stock Exchange	Securities Trader Principal	Approved	02/05/2016
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	04/10/2014
B Alaska	Agent	Approved	04/10/2014
B Arizona	Agent	Approved	04/10/2014
B Arkansas	Agent	Approved	04/10/2014
B California	Agent	Approved	04/10/2014
B Colorado	Agent	Approved	04/10/2014
B Connecticut	Agent	Approved	04/10/2014



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	08/28/2015
B	Delaware	Agent	Approved	04/10/2014
B	District of Columbia	Agent	Approved	04/10/2014
B	Florida	Agent	Approved	04/10/2014
B	Georgia	Agent	Approved	04/10/2014
B	Hawaii	Agent	Approved	04/10/2014
B	Idaho	Agent	Approved	04/10/2014
B	Illinois	Agent	Approved	04/10/2014
B	Indiana	Agent	Approved	04/10/2014
B	Iowa	Agent	Approved	04/10/2014
B	Kansas	Agent	Approved	04/10/2014
B	Kentucky	Agent	Approved	04/10/2014
B	Louisiana	Agent	Approved	04/10/2014
B	Maine	Agent	Approved	04/10/2014
B	Maryland	Agent	Approved	04/10/2014
B	Massachusetts	Agent	Approved	04/10/2014
B	Michigan	Agent	Approved	04/10/2014
B	Minnesota	Agent	Approved	04/10/2014
B	Mississippi	Agent	Approved	04/10/2014
B	Missouri	Agent	Approved	04/10/2014
B	Montana	Agent	Approved	04/10/2014



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nebraska	Agent	Approved	04/10/2014
B	Nevada	Agent	Approved	04/10/2014
B	New Hampshire	Agent	Approved	04/10/2014
B	New Jersey	Agent	Approved	04/10/2014
B	New Mexico	Agent	Approved	04/10/2014
B	New York	Agent	Approved	04/10/2014
B	North Carolina	Agent	Approved	04/11/2014
B	North Dakota	Agent	Approved	04/10/2014
B	Ohio	Agent	Approved	04/11/2014
B	Oklahoma	Agent	Approved	04/10/2014
B	Oregon	Agent	Approved	04/10/2014
B	Pennsylvania	Agent	Approved	04/10/2014
B	Puerto Rico	Agent	Approved	04/10/2014
B	Rhode Island	Agent	Approved	04/10/2014
B	South Carolina	Agent	Approved	04/10/2014
B	South Dakota	Agent	Approved	04/10/2014
B	Tennessee	Agent	Approved	04/10/2014
B	Texas	Agent	Approved	04/10/2014
B	Utah	Agent	Approved	04/10/2014
B	Vermont	Agent	Approved	04/10/2014
B	Virgin Islands	Agent	Approved	04/10/2014



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	04/10/2014
B	Washington	Agent	Approved	04/10/2014
B	West Virginia	Agent	Approved	04/10/2014
B	Wisconsin	Agent	Approved	04/10/2014
B	Wyoming	Agent	Approved	04/10/2014

### Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 ONE BRYANT PARK  
 INVESTMENT SOLUTIONS GROUP  
 NEW YORK, NY 10036

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## 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, 5 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	05/23/2005
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	03/23/2005
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	02/17/2005

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Trader Exam	Series 57TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> NYSE Trading Assistant Examination	Series 25	02/19/2002
<b>B</b> Limited Representative-Equity Trader Exam	Series 55	03/01/2001
<b>B</b> General Securities Representative Examination	Series 7	10/20/2000

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	08/27/2015
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/26/2000

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

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 04/2011 - 11/2012	RAFFERTY CAPITAL MARKETS, LLC	23682	NEW YORK, NY
<b>B</b> 04/2009 - 09/2009	LEGG MASON INVESTOR SERVICES, LLC	109064	NEW YORK, NY
<b>B</b> 02/2007 - 07/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
<b>B</b> 10/2000 - 09/2006	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY

### 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
04/2014 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SENIOR PRODUCT SPECIALIST	N	NEW YORK, NY, 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.

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FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATION  
 NAME OF OUTSIDE BUSINESS ORGANIZATION: RENTAL PROPERTY  
 INVESTMENT RELATED: N  
 ADDRESS OF BUSINESS:  
 MANASQUAN NJ 08736  
 NATURE OF BUSINESS: OTHER UNINCORPORATED  
 POSITION, TITLE, ASSOCIATION:  
 START DATE OF RELATIONSHIP: 4/28/2014  
 NUMBER OF HOURS DEVOTED: 0 ANNUALLY HOUR(S)

## Registration and Employment History



### Other Business Activities, continued

NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0

DUTIES: THIS IS A BEACH CONDO THAT MY WIFE AND I OWN. WE PRIMARILY USE IT AS A SECOND HOME FOR OUR FAMILY. AT THE MOMENT, WE DO NOT HAVE ANY PLANS ON RENTING OUT THIS PROPERTY.

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## End of Report



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