

BrokerCheck Report

Kenneth Correa

CRD# 4711969

| <u>Section Title</u> | <u>Page(s)</u> |
|-------------------------------------|----------------|
| Report Summary | 1 |
| Broker Qualifications | 2 - 7 |
| Registration and Employment History | 9 - 10 |



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



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.

Kenneth Correa

CRD# 4711969

Currently employed by and registered with the following Firm(s):**IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

ONE BRYANT PARK
MLWM EXECUTIVE OSJ
NEW YORK, NY 10036
CRD# 7691

Registered with this firm since: 09/11/2019

B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

ONE BRYANT PARK
MLWM EXECUTIVE OSJ
NEW YORK, NY 10036
CRD# 7691

Registered with this firm since: 09/11/2019

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

Registration History

This broker was previously registered with the following securities firm(s):**IA UBS FINANCIAL SERVICES INC.**

CRD# 8174
WEEHAWKEN, NJ
03/2006 - 09/2019

B UBS FINANCIAL SERVICES INC.

CRD# 8174
NEW YORK, NY
12/2003 - 09/2019

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**

| SRO | Category | Status | Date |
|---------------------------|-------------------------------------|----------|------------|
| B Cboe BYX Exchange, Inc. | General Securities Representative | Approved | 09/11/2019 |
| B Cboe BYX Exchange, Inc. | General Securities Principal | Approved | 07/07/2022 |
| B Cboe BZX Exchange, Inc. | General Securities Representative | Approved | 09/11/2019 |
| B Cboe BZX Exchange, Inc. | General Securities Principal | Approved | 07/07/2022 |
| B Cboe Exchange, Inc. | General Securities Representative | Approved | 09/11/2019 |
| B Cboe Exchange, Inc. | General Securities Sales Supervisor | Approved | 09/11/2019 |
| B Cboe Exchange, Inc. | General Securities Principal | Approved | 07/07/2022 |
| B FINRA | General Securities Representative | Approved | 09/11/2019 |
| B FINRA | General Securities Sales Supervisor | Approved | 09/11/2019 |
| B FINRA | General Securities Principal | Approved | 07/07/2022 |
| B FINRA | Operations Professional | Approved | 02/01/2024 |
| B Nasdaq Stock Market | General Securities Representative | Approved | 09/11/2019 |
| B Nasdaq Stock Market | General Securities Sales Supervisor | Approved | 09/11/2019 |
| B Nasdaq Stock Market | General Securities Principal | Approved | 07/07/2022 |
| B New York Stock Exchange | General Securities Representative | Approved | 09/11/2019 |

Broker Qualifications



Employment 1 of 1, continued

| SRO | Category | Status | Date |
|---------------------------|-------------------------------------|----------|------------|
| B New York Stock Exchange | General Securities Sales Supervisor | Approved | 09/11/2019 |
| B New York Stock Exchange | General Securities Principal | Approved | 07/07/2022 |

| U.S. State/ Territory | Category | Status | Date |
|------------------------|----------|----------|------------|
| B Alabama | Agent | Approved | 09/11/2019 |
| B Alaska | Agent | Approved | 09/11/2019 |
| B Arizona | Agent | Approved | 09/11/2019 |
| B Arkansas | Agent | Approved | 09/11/2019 |
| B California | Agent | Approved | 09/11/2019 |
| B Colorado | Agent | Approved | 09/11/2019 |
| B Connecticut | Agent | Approved | 09/11/2019 |
| B Delaware | Agent | Approved | 09/11/2019 |
| B District of Columbia | Agent | Approved | 09/11/2019 |
| B Florida | Agent | Approved | 09/11/2019 |
| B Georgia | Agent | Approved | 09/11/2019 |
| B Hawaii | Agent | Approved | 09/11/2019 |
| B Idaho | Agent | Approved | 09/11/2019 |
| B Illinois | Agent | Approved | 09/11/2019 |
| B Indiana | Agent | Approved | 09/11/2019 |
| B Iowa | Agent | Approved | 09/11/2019 |
| B Kansas | Agent | Approved | 09/11/2019 |
| B Kentucky | Agent | Approved | 09/11/2019 |

Broker Qualifications



Employment 1 of 1, continued

| U.S. State/ Territory | Category | Status | Date |
|-----------------------|-----------------------------------|----------|------------|
| B Louisiana | Agent | Approved | 09/11/2019 |
| B Maine | Agent | Approved | 09/11/2019 |
| B Maryland | Agent | Approved | 09/11/2019 |
| B Massachusetts | Agent | Approved | 09/11/2019 |
| B Michigan | Agent | Approved | 09/11/2019 |
| B Minnesota | Agent | Approved | 09/11/2019 |
| B Mississippi | Agent | Approved | 09/11/2019 |
| B Missouri | Agent | Approved | 09/11/2019 |
| B Montana | Agent | Approved | 09/11/2019 |
| B Nebraska | Agent | Approved | 09/11/2019 |
| B Nevada | Agent | Approved | 09/11/2019 |
| B New Hampshire | Agent | Approved | 09/11/2019 |
| B New Jersey | Agent | Approved | 09/11/2019 |
| IA New Jersey | Investment Adviser Representative | Approved | 09/11/2019 |
| B New Mexico | Agent | Approved | 09/11/2019 |
| B New York | Agent | Approved | 09/11/2019 |
| IA New York | Investment Adviser Representative | Approved | 04/19/2021 |
| B North Carolina | Agent | Approved | 09/11/2019 |
| B North Dakota | Agent | Approved | 09/11/2019 |
| B Ohio | Agent | Approved | 09/11/2019 |
| B Oklahoma | Agent | Approved | 09/11/2019 |

Broker Qualifications



Employment 1 of 1, continued

| | U.S. State/ Territory | Category | Status | Date |
|----|-----------------------|-----------------------------------|---------------------|------------|
| B | Oregon | Agent | Approved | 09/11/2019 |
| B | Pennsylvania | Agent | Approved | 09/11/2019 |
| B | Puerto Rico | Agent | Approved | 09/11/2019 |
| B | Rhode Island | Agent | Approved | 09/11/2019 |
| B | South Carolina | Agent | Approved | 09/11/2019 |
| B | South Dakota | Agent | Approved | 09/11/2019 |
| B | Tennessee | Agent | Approved | 09/11/2019 |
| B | Texas | Agent | Approved | 09/11/2019 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 09/23/2019 |
| B | Utah | Agent | Approved | 09/11/2019 |
| B | Vermont | Agent | Approved | 09/11/2019 |
| B | Virgin Islands | Agent | Approved | 09/11/2019 |
| B | Virginia | Agent | Approved | 09/11/2019 |
| B | Washington | Agent | Approved | 09/11/2019 |
| B | West Virginia | Agent | Approved | 09/11/2019 |
| B | Wisconsin | Agent | Approved | 09/11/2019 |
| B | Wyoming | Agent | Approved | 09/11/2019 |

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 ONE BRYANT PARK
 MLWM EXECUTIVE OSJ
 NEW YORK, NY 10036

Broker Qualifications



Employment 1 of 1, continued

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Bronxville, NY

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

Principal/Supervisory Exams

| Exam | Category | Date |
|--|-----------|------------|
| General Securities Principal Examination | Series 24 | 07/07/2022 |
| General Securities Sales Supervisor - General Module Examination | Series 10 | 03/17/2006 |
| General Securities Sales Supervisor - Options Module Examination | Series 9 | 02/04/2005 |

General Industry/Product Exams

| Exam | Category | Date |
|---|-------------|------------|
| Operations Professional Examination | Series 99TO | 02/01/2024 |
| Securities Industry Essentials Examination | SIE | 10/01/2018 |
| National Commodity Futures Examination | Series 3 | 09/12/2008 |
| General Securities Representative Examination | Series 7 | 12/04/2003 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
| Uniform Combined State Law Examination | Series 66 | 07/07/2004 |

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 |
|----------------------|-----------------------------|------|-----------------|
| IA 03/2006 - 09/2019 | UBS FINANCIAL SERVICES INC. | 8174 | NEW YORK, NY |
| B 12/2003 - 09/2019 | UBS FINANCIAL SERVICES INC. | 8174 | 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 |
|-------------------|--|-----------------------|--------------------|-----------------------------|
| 09/2019 - Present | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | MLWM Market Executive | Y | NEW YORK, NY, United States |
| 06/2015 - 09/2019 | UBS FINANCIAL SERVICES INC | COMPLEX DIRECTOR | Y | PARAMUS, NJ, 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.

1. For profit or not for profit: It is neither. I sit on the investment board of my condominium.
2. Name of outside business organization: Villa BXV
3. Investment related: No. Condo I live in. 52 units and there are two other people with me on it.
4. Address of business (City and State Only): Bronxville, NY 10708
5. Nature of business: We have a cash reserve fund with \$250,000 for the condominium that was put into 2 CDs at a local bank.
6. Position, title, association: sit on the board with two others
7. Start date of relationship: May of 2019
8. Number of hours devoted: 0
9. Number of hours devoted during trading hours: 0
10. Duties: There is really nothing to do. We decided in June to place 250k into the CDS which have a term of 2 years.

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For profit or not for profit: For-Profit Organization

Registration and Employment History



Other Business Activities, continued

Name of outside business organization: Correa Investments LLC

Investment related: Y

Address of business:

Elmhurst, New York 11373

Nature of business: LLC,

Position, title, association: Owner,

Start date of relationship: 4/1/2014

Number of hours devoted: 0 hour(s) Annually

Number of hours devoted during trading hours: 0

Duties: I am the sole member of my LLC for estate planning reasons. The ONLY purpose of this LLC is to have proper titling for my accounts.

End of Report



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