

## BrokerCheck Report

**Sergio Omar Russell-Diaz**

CRD# 4854086

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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).



## Sergio O. Russell-Diaz

CRD# 4854086

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

**IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 300 BROADHOLLOW RD  
 MELVILLE, NY 11747  
 CRD# 7691  
 Registered with this firm since: 10/21/2022

**B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 300 BROADHOLLOW RD  
 MELVILLE, NY 11747  
 CRD# 7691  
 Registered with this firm since: 10/21/2022

## 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
- 32 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

- IA NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC**  
 CRD# 2881  
 MILWAUKEE, WI  
 07/2021 - 07/2022
- B NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC**  
 CRD# 2881  
 NEW YORK, NY  
 07/2021 - 07/2022
- IA AMERIPRISE FINANCIAL SERVICES, INC.**  
 CRD# 6363  
 MINNEAPOLIS, MN  
 04/2018 - 12/2019

### 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 32 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 Principal	Approved	10/21/2022
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/21/2022
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	10/21/2022
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/21/2022
B	Cboe Exchange, Inc.	General Securities Principal	Approved	10/21/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	10/21/2022
B	FINRA	General Securities Principal	Approved	10/21/2022
B	FINRA	General Securities Representative	Approved	10/21/2022
B	Nasdaq Stock Market	General Securities Principal	Approved	10/21/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	10/21/2022
B	New York Stock Exchange	General Securities Principal	Approved	10/21/2022
B	New York Stock Exchange	General Securities Representative	Approved	10/21/2022

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	02/17/2025

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	10/25/2022
B	California	Agent	Approved	10/25/2022
B	Colorado	Agent	Approved	10/25/2022
B	Connecticut	Agent	Approved	10/25/2022
B	Delaware	Agent	Approved	10/27/2022
B	District of Columbia	Agent	Approved	10/25/2022
B	Florida	Agent	Approved	10/25/2022
B	Georgia	Agent	Approved	10/25/2022
B	Hawaii	Agent	Approved	06/02/2023
B	Illinois	Agent	Approved	10/25/2022
B	Indiana	Agent	Approved	06/02/2023
B	Kentucky	Agent	Approved	10/25/2022
B	Louisiana	Agent	Approved	10/25/2022
B	Maine	Agent	Approved	10/25/2022
B	Maryland	Agent	Approved	10/25/2022
B	Massachusetts	Agent	Approved	10/25/2022
B	Michigan	Agent	Approved	10/25/2022
B	Minnesota	Agent	Approved	10/25/2022
B	Nevada	Agent	Approved	10/25/2022
B	New Hampshire	Agent	Approved	01/11/2026
B	New Jersey	Agent	Approved	10/25/2022



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	10/21/2022
IA	New York	Investment Adviser Representative	Approved	10/21/2022
B	North Carolina	Agent	Approved	10/25/2022
B	Ohio	Agent	Approved	10/26/2022
B	Oregon	Agent	Approved	10/25/2022
B	Pennsylvania	Agent	Approved	10/25/2022
B	South Carolina	Agent	Approved	10/25/2022
B	Texas	Agent	Approved	10/25/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	10/27/2022
B	Utah	Agent	Approved	06/02/2023
B	Virginia	Agent	Approved	10/25/2022
B	West Virginia	Agent	Approved	12/21/2025

### Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 300 BROADHOLLOW RD  
 MELVILLE, NY 11747



## 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 1 principal/supervisory exam, 2 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	04/25/2011

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	09/21/2004

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	04/03/2017
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	11/01/2004

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/](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>IA</b> 07/2021 - 07/2022	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	NEW YORK, NY
<b>B</b> 07/2021 - 07/2022	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	NEW YORK, NY
<b>IA</b> 04/2018 - 12/2019	AMERIPRISE FINANCIAL SERVICES, INC.	6363	SADDLE BROOK, NJ
<b>B</b> 04/2018 - 12/2019	AMERIPRISE FINANCIAL SERVICES, INC.	6363	SADDLE BROOK, NJ
<b>IA</b> 04/2017 - 02/2018	NEUBERGER BERMAN BD LLC	2908	NEW YORK, NY
<b>B</b> 11/2016 - 02/2018	NEUBERGER BERMAN BD LLC	2908	NEW YORK, NY
<b>B</b> 08/2008 - 11/2016	PARK AVENUE SECURITIES LLC	46173	NEW YORK, NY
<b>B</b> 03/2007 - 04/2008	E*TRADE SECURITIES LLC	29106	JERSEY CITY, NJ
<b>B</b> 06/2005 - 02/2007	COMPUTERSHARE SECURITIES CORPORATION	107023	CHICAGO, IL
<b>B</b> 09/2004 - 04/2005	FORDHAM FINANCIAL MANAGEMENT, INC.	20996	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
09/2022 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Registered Wealth Management Client Associate	Y	Jericho, NY, United States
07/2021 - 07/2022	Louis Cannataro	Associate Agent	Y	New York, NY, United States
06/2021 - 07/2022	Northwestern Mutual Investment Services LLC	Registered Representative	Y	New York, NY, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
02/2021 - 06/2021	Unemployed	Unemployed	N	Long Beach, NY, United States
06/2020 - 01/2021	JTC Group	Senior Administrator	N	New York, NY, United States
01/2020 - 05/2020	Unemployed	Unemployed	N	Long Beach, NY, United States
03/2018 - 12/2019	Ameriprise Financial	Registered Operations	Y	Uniondale, NY, United States
02/2018 - 02/2018	Unemployed	Unemployed	N	Bayonne, NJ, United States
11/2016 - 01/2018	Neuberger Berman	Business Control Analyst	Y	New York, NY, United States
08/2008 - 11/2016	Park Avenue Securities Guardian Life Insurance	Advisory Operations Specialist	Y	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.

Name: Rental PropertyNot Investment RelatedAddress: Bayonne, NJPosition: Property OwnerTitle or relationship: Property OwnerStart date: 05/26/2022Approximate number of hours: 1 hourNumber of hours during securities trading: NoneBriefly describe your duties: I collect rent and also pay the mortgage and condo maintenance fees (HOA fees).I\*1739283Entity Type: For ProfitName of OBA: S.R. ArtworksAddress:Long Beach, NYInvestment Related:NoPosition, Title, Association:OwnerStart Date:03/11/2024No Hours: MonthlyNo Hours during trading:0Duties:Sale of artwork. Responsibilities include selling artwork to potential buyers, attending galleries and art fairs.

I\*1972262

Entity For Profit

Name of OBA: R D PROPERTY HOLDINGS LLC

Address: BAY SHORE, New York, 11706

Investment Related: No

Position, Title, Association: Owner

Employee Start Date: 05/29/2024

No Hours: 2

No Hours during trading: 0

Duties: PURPOSE IS TO INVEST FUNDS FROM REAL ESTATE PROPERTY. RESPONSIBILITY IS TO MANAGE CONDO FUNDS APPROPRIATELY.

## End of Report



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