

## BrokerCheck Report

**GUY ALLEN**

CRD# 5121608

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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)

**GUY ALLEN**

CRD# 5121608

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

**IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 6311 ATRIUM DR  
 LAKEWOOD RANCH, FL 34202  
 CRD# 7691  
 Registered with this firm since: 07/08/2011

**B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 6311 ATRIUM DR  
 LAKEWOOD RANCH, FL 34202  
 CRD# 7691  
 Registered with this firm since: 07/07/2011

**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:**

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

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

- IA AMERIVEST INVESTMENT MANAGEMENT, LLC**  
 CRD# 111514  
 OMAHA, NE  
 09/2010 - 07/2011
- IA TD AMERITRADE, INC.**  
 CRD# 7870  
 OMAHA, NE  
 09/2010 - 07/2011
- B TD AMERITRADE, INC.**  
 CRD# 7870  
 SARASOTA, FL  
 09/2010 - 07/2011

**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>B</b> Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/12/2014
<b>B</b> Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/12/2014
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	07/07/2011
<b>B</b> FINRA	General Securities Representative	Approved	07/07/2011
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/07/2011
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	07/07/2011

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alabama	Agent	Approved	01/15/2015
<b>B</b> Alaska	Agent	Approved	10/15/2019
<b>B</b> Arizona	Agent	Approved	01/15/2015
<b>B</b> Arkansas	Agent	Approved	01/15/2015
<b>B</b> California	Agent	Approved	01/15/2015
<b>B</b> Colorado	Agent	Approved	01/15/2015
<b>B</b> Connecticut	Agent	Approved	01/15/2015



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Delaware	Agent	Approved	10/02/2017
B	District of Columbia	Agent	Approved	02/03/2017
B	Florida	Agent	Approved	07/07/2011
IA	Florida	Investment Adviser Representative	Approved	07/08/2011
B	Georgia	Agent	Approved	02/08/2012
B	Hawaii	Agent	Approved	04/06/2017
B	Idaho	Agent	Approved	01/15/2015
B	Illinois	Agent	Approved	01/15/2015
B	Indiana	Agent	Approved	01/15/2015
B	Iowa	Agent	Approved	01/15/2021
B	Kansas	Agent	Approved	01/15/2015
B	Kentucky	Agent	Approved	01/15/2015
B	Louisiana	Agent	Approved	01/15/2015
B	Maine	Agent	Approved	02/08/2012
B	Maryland	Agent	Approved	02/25/2013
B	Massachusetts	Agent	Approved	01/15/2015
B	Michigan	Agent	Approved	01/15/2015
B	Minnesota	Agent	Approved	01/15/2015
B	Mississippi	Agent	Approved	05/16/2016
B	Missouri	Agent	Approved	01/15/2015
B	Montana	Agent	Approved	01/08/2016



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nebraska	Agent	Approved	02/03/2017
B	Nevada	Agent	Approved	01/15/2015
B	New Hampshire	Agent	Approved	02/03/2017
B	New Jersey	Agent	Approved	01/15/2015
B	New Mexico	Agent	Approved	01/15/2020
B	New York	Agent	Approved	02/08/2012
B	North Carolina	Agent	Approved	02/06/2013
B	North Dakota	Agent	Approved	02/15/2021
B	Ohio	Agent	Approved	01/16/2015
B	Oklahoma	Agent	Approved	09/26/2017
B	Oregon	Agent	Approved	01/15/2015
B	Pennsylvania	Agent	Approved	01/15/2015
B	Puerto Rico	Agent	Approved	09/01/2022
B	Rhode Island	Agent	Approved	01/15/2015
B	South Carolina	Agent	Approved	01/15/2015
B	South Dakota	Agent	Approved	01/15/2019
B	Tennessee	Agent	Approved	01/15/2015
B	Texas	Agent	Approved	07/07/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	07/08/2011
B	Utah	Agent	Approved	06/15/2020
B	Vermont	Agent	Approved	07/03/2017



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virgin Islands	Agent	Approved	06/17/2019
B	Virginia	Agent	Approved	01/15/2015
B	Washington	Agent	Approved	01/15/2015
B	West Virginia	Agent	Approved	05/16/2016
B	Wisconsin	Agent	Approved	01/15/2015
B	Wyoming	Agent	Approved	05/15/2018

### Branch Office Locations

#### MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

6311 ATRIUM DR  
LAKEWOOD RANCH, FL 34202

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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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

### 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> General Securities Representative Examination	Series 7	06/14/2006

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	07/08/2006

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
IA 09/2010 - 07/2011	AMERIVEST INVESTMENT MANAGEMENT, LLC	111514	SARASOTA, FL
IA 09/2010 - 07/2011	TD AMERITRADE, INC.	7870	SARASOTA, FL
B 09/2010 - 07/2011	TD AMERITRADE, INC.	7870	SARASOTA, FL
IA 11/2007 - 09/2010	WELLS FARGO ADVISORS, LLC	19616	PORT CHARLOTTE, FL
B 11/2007 - 09/2010	WELLS FARGO ADVISORS, LLC	19616	PORT CHARLOTTE, FL
IA 07/2006 - 04/2007	UBS FINANCIAL SERVICES INC.	8174	SARASOTA, FL
B 06/2006 - 04/2007	UBS FINANCIAL SERVICES INC.	8174	SARASOTA, FL

### 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
09/2011 - Present	BANK OF AMERICA, N.A.	FINANCIAL ADVISOR	Y	SARASOTA, FL, United States
06/2011 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	SARASOTA, FL, United States
08/2010 - Present	TD AMERITRADE	INVESTMENT CONSULTANT	Y	SARASOTA, FL, 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.

BUSINESS OR ACTIVITY NAME: THE PILATES LOFT OF PUNTA GORDA



## Registration and Employment History

### Other Business Activities, continued

FOR PROFIT OR NOT FOR PROFIT: PROFIT  
INVESTMENT RELATED: (YES OR NO) \* NO  
NATURE OF BUSINESS: FITNESS STUDIO  
YOUR POSITION, TITLE, ASSOCIATION: SILENT PARTNER WITH MY SPOUSE  
START DATE OF RELATIONSHIP: 01/01/2010  
NUMBER OF HOURS DEVOTED PER MONTH: 5  
NUMBER OF HOURS DEVOTED DURING SECURITIES TRADING HOURS: 0  
YOUR DUTIES: ADMINISTRATIVE

I\*43072

For profit or not for profit: For-Profit Organization  
Name of outside business organization: The Pilates Loft of Sarasota  
Investment related: N  
Address of business:  
Sarasota, Florida 34236  
Nature of business: LLC,  
Position, title, association: Family Held,  
Start date of relationship: 1/1/2010  
Number of hours devoted: 5 hour(s) Monthly  
Number of hours devoted during trading hours: 0  
Duties: Partner with my wife who manages and operates the business.

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## End of Report



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