

BrokerCheck Report

Bijan Aron Pounaki

CRD# 6834523

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 9



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.



Bijan A. Pounaki

CRD# 6834523

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

IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 110 N WACKER DR
 PBIG - CHICAGO
 CHICAGO, IL 60606
 CRD# 7691
 Registered with this firm since: 12/17/2020

B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 110 N WACKER DR
 PBIG - CHICAGO
 CHICAGO, IL 60606
 CRD# 7691
 Registered with this firm since: 05/10/2018

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:

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

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 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	05/10/2018
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/10/2018
B	Cboe Exchange, Inc.	General Securities Representative	Approved	05/10/2018
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	05/30/2024
B	FINRA	General Securities Representative	Approved	05/10/2018
B	FINRA	General Securities Sales Supervisor	Approved	05/30/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	05/10/2018
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	05/30/2024
B	New York Stock Exchange	General Securities Representative	Approved	05/10/2018
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	05/30/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/29/2021
B	Alaska	Agent	Approved	04/18/2024
B	Arizona	Agent	Approved	01/25/2021

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Arkansas	Agent	Approved	04/24/2024
B	California	Agent	Approved	01/15/2021
B	Colorado	Agent	Approved	01/19/2021
B	Connecticut	Agent	Approved	01/19/2021
B	Delaware	Agent	Approved	05/03/2022
B	District of Columbia	Agent	Approved	04/22/2024
B	Florida	Agent	Approved	01/19/2021
B	Georgia	Agent	Approved	01/19/2021
B	Hawaii	Agent	Approved	04/19/2024
B	Idaho	Agent	Approved	01/19/2021
B	Illinois	Agent	Approved	12/17/2020
IA	Illinois	Investment Adviser Representative	Approved	12/17/2020
B	Indiana	Agent	Approved	01/19/2021
B	Iowa	Agent	Approved	01/22/2021
B	Kansas	Agent	Approved	04/18/2024
B	Kentucky	Agent	Approved	01/19/2021
B	Louisiana	Agent	Approved	01/19/2021
B	Maine	Agent	Approved	04/22/2024
B	Maryland	Agent	Approved	01/19/2021
B	Massachusetts	Agent	Approved	01/19/2021
B	Michigan	Agent	Approved	01/19/2021

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Minnesota	Agent	Approved	01/19/2021
B	Mississippi	Agent	Approved	04/19/2024
B	Missouri	Agent	Approved	01/19/2021
B	Montana	Agent	Approved	01/19/2021
B	Nebraska	Agent	Approved	08/04/2022
B	Nevada	Agent	Approved	02/03/2021
B	New Hampshire	Agent	Approved	04/19/2024
B	New Jersey	Agent	Approved	01/19/2021
B	New Mexico	Agent	Approved	01/19/2021
B	New York	Agent	Approved	01/16/2021
B	North Carolina	Agent	Approved	01/20/2021
B	North Dakota	Agent	Approved	04/23/2024
B	Ohio	Agent	Approved	01/18/2021
B	Oklahoma	Agent	Approved	04/22/2024
B	Oregon	Agent	Approved	01/22/2021
B	Pennsylvania	Agent	Approved	01/19/2021
B	Puerto Rico	Agent	Approved	05/15/2024
B	Rhode Island	Agent	Approved	04/22/2024
B	South Carolina	Agent	Approved	01/19/2021
B	South Dakota	Agent	Approved	04/18/2024
B	Tennessee	Agent	Approved	01/19/2021



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	01/20/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	01/28/2021
B	Utah	Agent	Approved	08/30/2023
B	Vermont	Agent	Approved	01/19/2021
B	Virgin Islands	Agent	Approved	04/24/2024
B	Virginia	Agent	Approved	01/21/2021
B	Washington	Agent	Approved	01/15/2021
B	West Virginia	Agent	Approved	02/02/2021
B	Wisconsin	Agent	Approved	01/15/2021
B	Wyoming	Agent	Approved	04/19/2024

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

110 N WACKER DR

PBIB - CHICAGO

CHICAGO, IL 60606

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Wilmette, IL



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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	05/30/2024
B General Securities Sales Supervisor - Options Module Examination	Series 9	04/17/2024

General Industry/Product Exams

Exam	Category	Date
B Futures Managed Funds Examination	Series 31	06/13/2024
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/10/2018

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/11/2020

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
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
05/2016 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Client Associate (FP)	Y	Northbrook, IL, United States
01/2016 - 05/2016	Birch Communication	Account Executive	N	Oak Brook, IL, United States
06/2012 - 01/2016	Best Buy	Mobile Sales Associate	N	chicago, IL, 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.

For profit or not for profit: Entity Charitable

Name of outside business organization: Schoolroom Raising Group

Investment related: no

Address of business: Grayslake, IL, 60030

Nature of business: Charitable Organization

Position, title, association: Director

Start date of relationship: 08/01/2018

Number of hours devoted: 4 monthly

Number of hours devoted during trading hours: 0

Duties: Fundraising and Donations to schools who need assistance

I* 454005

For profit or not for profit: Entity Charitable

Name of outside business organization: Doesn't Exist Yet



Registration and Employment History

Other Business Activities, continued

Investment related: no

Address of business: Gurnee, IL, 60031

Nature of business: Charitable Organization

Position, title, association: Owner

Start date of relationship: 12/18/2017

Number of hours devoted: 4 monthly

Number of hours devoted during trading hours: 0

Duties: I am seeking approval to start a non profit that fundraises for a specific cause each year. For example I'd like the non profits directive to donate technology like computers to schools who lack funding to have a computer for each student.

I* 1276299

For profit or not for profit: Entity For Profit

Name of outside business organization: Bijan A Pounaki LLC

Investment related: no

Address of business: Wilmette, IL, 60091

Nature of business: Limited Liability Company

Position, title, association: Other

Start date of relationship: 05/05/2023

Number of hours devoted: 3 monthly

Number of hours devoted during trading hours: 0

Duties: This request is for pre-approval to create an LLC that will be used as a vehicle to hold personal assets and debt, to create a layer of protection from personal liability and to manage my sole property and interests. No outside investments or clients. The only compensation that I could receive for example would be if the assets in my LLC were to pay me interest, dividends, or capital gains. It will be a single member LLC and I the sole member.

I* 1532256

For profit or not for profit: Entity For Profit

Name of outside business organization: Maui of the Midwest

Investment related: no

Address of business: Chicago, IL, 60611

Nature of business: Limited Liability Company

Position, title, association: General Partner/Managing Member, Owner

Start date of relationship: 10/13/2023

Number of hours devoted: 3 weekly

Number of hours devoted during trading hours: 0

Duties: Maui of the Midwest is an Ecommerce lifestyle brand, selling Maui inspired apparel and other lifestyle household goods.

I*2295273, Entity Type: , Name of OBA: B P, Address: Gurnee, Illinois, 60031, Investment Related: N, Position, Title, Association: Power of Attorney, Employee State Date: 07-Apr-2025, No Hours: 1 Yearly, No Hours during Trading: 0 Yearly, Duties:

I*2340258, Entity Type: , Name of OBA: MLPF& S CUST FPO B P IRRA FBO B P, Address: Gurnee, Illinois, 60031, Investment Related: N, Position, Title, Association: Power of Attorney, Employee State Date: 10-Apr-2025, No Hours: 1 Yearly, No Hours during Trading: 0 Yearly, Duties:

End of Report



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