

BrokerCheck Report

Austin P Fitzpatrick

CRD# 7946434

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 8



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.

Austin P. Fitzpatrick

CRD# 7946434

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

IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 700 MAIN ST
 NAPA, CA 94559
 CRD# 7691
 Registered with this firm since: 08/02/2024

B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 700 MAIN ST
 NAPA, CA 94559
 CRD# 7691
 Registered with this firm since: 07/29/2024

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
- 9 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):**

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 9 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	07/29/2024
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	07/29/2024
B	Cboe Exchange, Inc.	General Securities Representative	Approved	07/29/2024
B	FINRA	General Securities Representative	Approved	07/29/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	07/29/2024
B	New York Stock Exchange	General Securities Representative	Approved	07/29/2024

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	09/23/2024
B	California	Agent	Approved	08/02/2024
IA	California	Investment Adviser Representative	Approved	08/02/2024
B	Colorado	Agent	Approved	06/12/2025
B	Florida	Agent	Approved	09/23/2024
B	Nevada	Agent	Approved	09/23/2024
B	Oregon	Agent	Approved	09/23/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	09/23/2024
IA	Texas	Investment Adviser Representative	Approved	09/23/2024
B	Utah	Agent	Approved	03/17/2026
B	Washington	Agent	Approved	09/23/2024

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

700 MAIN ST
NAPA, CA 94559



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 General Securities Representative Examination	Series 7TO	07/28/2024
B Securities Industry Essentials Examination	SIE	12/02/2023

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/06/2024

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
08/2024 - Present	Bank of America, N.A.	Financial Solutions Advisor Stage I - Registration candidate	Y	Benicia, CA, United States
06/2024 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Financial Solutions Advisor Stage I - Registration candidate	Y	Benicia, CA, United States
07/2021 - 06/2024	San Rafael Pacifics	From 2021 to 2024 I held three different positions with the San Rafael Pacifics. In 2021 I was a professional baseball player for the San Rafael Pacifics. From 2022-2024 I transitioned from a player to a coach for the organization. I was the assistant coach of the team in 2022, then was named the manager of the team for the 2023 and 2024 season. Upon hire at Bank of America I stepped away from	N	San Rafael, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
		coaching the San Rafael Pacifics.		
09/2023 - 03/2024	In-N-Out Burger	Clean up Store Associate	N	Napa, CA, United States
06/2021 - 07/2021	Billings Mustangs	During this time period I was a professional baseball player for the Billings Mustangs of the Pioneer League.	N	Billings, MT, United States
01/2020 - 06/2021	Unemployed	During this time period I was unemployed. I was continuing to pursue professional baseball, but due to Covid majority of the leagues around the country were shut down.	N	Benicia, CA, United States
07/2018 - 01/2020	Napa Silverados	During this time period I was a professional baseball player for the Napa Silverados of the Pacific Association.	N	Napa, CA, United States
08/2016 - 12/2018	California State University Stanislaus	University student	N	Turlock, CA, United States
09/2018 - 11/2018	Target Corporation	During this time period I worked part-time for Target Corporation and held the position of Market Team Member.	N	Turlock, CA, United States
08/2015 - 08/2017	Benicia Health and Fitness Club	During this time period I worked part-time at Benicia Health and Fitness Club as a Front Desk Administrator. I held this job over the course of my college education.	N	Benicia, CA, United States

Registration and Employment History



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.

No information reported.

End of Report



This page is intentionally left blank.