



IAPD Report

THOMAS ANTHONY BUCHOLTZ

CRD# 6200914

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6

i Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.
For more information read our [investor alert](#) on imposters.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

THOMAS ANTHONY BUCHOLTZ (CRD# 6200914)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/23/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	10/14/2016
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	10/17/2016

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **20** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Richardson, TX	11/16/2015 - 08/12/2016
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Richardson, TX	10/02/2015 - 08/12/2016

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

No



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **20** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
Main Address: ONE BRYANT PARK
NEW YORK, NY 10036
Firm ID#: 7691

Regulator	Registration	Status	Date
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/14/2016
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/14/2016
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/14/2016
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/14/2016
B Cboe Exchange, Inc.	General Securities Representative	Approved	10/14/2016
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	01/20/2021
B FINRA	General Securities Representative	Approved	10/14/2016
B FINRA	General Securities Sales Supervisor	Approved	01/20/2021
B Investors' Exchange LLC	General Securities Representative	Approved	10/14/2016
B Nasdaq Stock Market	General Securities Representative	Approved	10/14/2016
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/20/2021
B New York Stock Exchange	General Securities Representative	Approved	10/14/2016
B New York Stock Exchange	General Securities Sales Supervisor	Approved	01/20/2021



Qualifications

Regulator	Registration	Status	Date
B Arizona	Agent	Approved	09/08/2021
B Arkansas	Agent	Approved	10/17/2016
B Colorado	Agent	Approved	10/17/2016
B Florida	Agent	Approved	10/14/2016
IA Florida	Investment Adviser Representative	Approved	10/17/2016
B Georgia	Agent	Approved	03/15/2023
B Kansas	Agent	Approved	10/19/2023
B Louisiana	Agent	Approved	10/17/2016
B Massachusetts	Agent	Approved	03/29/2022
B Michigan	Agent	Approved	09/01/2023
B Nevada	Agent	Approved	12/08/2022
B New Mexico	Agent	Approved	10/17/2016
B New York	Agent	Approved	02/24/2023
B North Carolina	Agent	Approved	06/28/2019
B Oklahoma	Agent	Approved	10/17/2016
B Oregon	Agent	Approved	04/12/2022
B Texas	Agent	Approved	10/17/2016
IA Texas	Investment Adviser Representative	Approved	01/25/2018
B Virginia	Agent	Approved	11/18/2020



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	06/11/2021
B Wisconsin	Agent	Approved	09/15/2023
B Wyoming	Agent	Approved	06/30/2023

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
5910 N CENTRAL EXPY
DALLAS, TX 75206



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/20/2021
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/16/2020

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	10/02/2015

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	11/06/2015

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/16/2015 - 08/12/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Richardson, TX
B	10/02/2015 - 08/12/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Richardson, TX

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2018 - Present	Bank of America, N.A.	Financial Solutions Advisor - FC	Y	Bedford, TX, United States
09/2016 - Present	Merrill Lynch, Pierce, Fenner & Smith Incorporated	Financial Solutions Advisor - FC	Y	Bedford, TX, United States
08/2016 - 09/2016	UNEMPLOYED	UNEMPLOYED	N	DALLAS, TX, United States
07/2014 - 08/2016	AMERIPRISE FINANCIAL SERVICES INC.	PRACTICE COORDINATOR	Y	RICHARDSON, TX, United States
05/2014 - 07/2014	UNEMPLOYED	UNEMPLOYED	N	COLUMBIA, SC, United States
08/2010 - 05/2014	UNIVERSITY OF SOUTH CAROLINA	FULL-TIME STUDENT	N	COLUMBIA, SC, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

I*399707
 For profit or not for profit:
 Name of outside business organization: MLL Mission Corporation
 Investment related: N
 Address of business: Dallas, Texas, 75219
 Nature of business: ["Charitable Organization"]
 Position, title, association: ["Committee", "Director"], [{"Fundraising committee"}]
 Start date of relationship: 4/21/2021
 Number of hours devoted: 10 hour(s) Yearly
 Number of hours devoted during trading hours: 0
 Duties: , In honor of a good friend that passed away, three of us started a non profit organization to honor him. We currently use donations to send under privileged kids to sports camps by providing scholarships to cover the costs they cannot afford.



End of Report

This page is intentionally left blank.