



IAPD Report

William R Coke

CRD# 1526771

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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.



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

William R Coke (CRD# 1526771)

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 **12/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	06/23/1992
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	03/02/2005

QUALIFICATIONS

This representative is currently registered in **28** SRO(s) and **44** 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	BEAR, STEARNS & CO. INC.	79	Topsfield, MA	07/07/2000 - 09/16/2002
B	FIRST ALBANY CORPORATION	298	NEW YORK, NY	07/21/1989 - 05/18/1992
B	SHEARSON LEHMAN HUTTON INC.	7506	NEW YORK, NY	07/25/1986 - 07/10/1989

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1
Termination	1



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 **44** jurisdiction(s) and 28 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**
Main Address: 270 PARK AVENUE
NEW YORK, NY 10017
Firm ID#: 79

	Regulator	Registration	Status	Date
	24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
	BOX Exchange LLC	General Securities Representative	Approved	05/07/2012
	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/01/2024
	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/01/2024
	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/06/2012
	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/01/2024
	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/01/2024
	Cboe Exchange, Inc.	General Securities Representative	Approved	06/23/1992
	FINRA	General Securities Representative	Approved	06/23/1992
	Investors' Exchange LLC	General Securities Representative	Approved	08/30/2016
	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
	MEMX LLC	General Securities Representative	Approved	02/16/2021
	MIAX Emerald, LLC	General Securities Representative	Approved	03/19/2019



Qualifications

	Regulator	Registration	Status	Date
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/01/2024
B	MIAX Sapphire	General Securities Representative	Approved	11/01/2024
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	11/01/2024
B	NYSE American LLC	General Securities Representative	Approved	06/26/1992
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/11/1992
B	NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	01/06/2012
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	08/02/2013
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/09/2008
B	Nasdaq MRX, LLC	General Securities Representative	Approved	03/24/2016
B	Nasdaq PHLX LLC	General Securities Representative	Approved	06/24/1992
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Texas, LLC	General Securities Representative	Approved	09/30/2009
B	New York Stock Exchange	General Securities Representative	Approved	06/25/1992
B	Texas Stock Exchange LLC	General Securities Representative	Approved	07/02/2026
B	Alabama	Agent	Approved	01/12/1993
B	Arizona	Agent	Approved	02/19/1993
B	California	Agent	Approved	06/30/1992



Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	08/14/1992
B	Connecticut	Agent	Approved	06/30/1992
B	District of Columbia	Agent	Approved	06/10/1994
B	Florida	Agent	Approved	02/10/1993
B	Georgia	Agent	Approved	07/06/1993
B	Hawaii	Agent	Approved	01/10/2011
B	Illinois	Agent	Approved	08/26/1992
B	Indiana	Agent	Approved	01/15/1993
B	Iowa	Agent	Approved	08/27/1992
B	Kansas	Agent	Approved	06/21/1993
B	Kentucky	Agent	Approved	02/09/1993
B	Louisiana	Agent	Approved	03/03/1994
IA	Louisiana	Investment Adviser Representative	Approved	03/04/2005
B	Maine	Agent	Approved	10/07/2008
B	Maryland	Agent	Approved	07/13/1995
B	Massachusetts	Agent	Approved	06/25/1992
B	Michigan	Agent	Approved	09/02/1992
B	Minnesota	Agent	Approved	08/25/1992
B	Mississippi	Agent	Approved	09/16/1992



Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	02/23/1993
B	Montana	Agent	Approved	09/18/1992
B	Nebraska	Agent	Approved	04/08/2008
B	Nevada	Agent	Approved	09/26/2006
B	New Hampshire	Agent	Approved	07/06/1994
B	New Jersey	Agent	Approved	07/02/1992
B	New Mexico	Agent	Approved	11/17/1992
B	New York	Agent	Approved	07/13/1992
B	North Carolina	Agent	Approved	03/10/1993
B	Ohio	Agent	Approved	12/07/1992
IA	Ohio	Investment Adviser Representative	Approved	05/30/2007
B	Oklahoma	Agent	Approved	11/30/2009
B	Oregon	Agent	Approved	12/17/1992
B	Pennsylvania	Agent	Approved	07/02/1992
B	Rhode Island	Agent	Approved	07/02/1992
B	South Carolina	Agent	Approved	02/02/1999
B	South Dakota	Agent	Approved	05/19/1995
B	Tennessee	Agent	Approved	08/05/1994
B	Texas	Agent	Approved	07/01/1992



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	03/02/2005
B Utah	Agent	Approved	12/23/1992
B Vermont	Agent	Approved	07/08/1992
B Virginia	Agent	Approved	11/15/1994
B Washington	Agent	Approved	10/29/1992
B Wisconsin	Agent	Approved	01/11/1993

Branch Office Locations

J.P. MORGAN SECURITIES LLC
50 ROWES WHARF
4TH FLOOR
BOSTON, MA 02110

J.P. MORGAN SECURITIES LLC
Topsfield, MA



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	07/19/1986

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/30/1986



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	07/07/2000 - 09/16/2002	BEAR, STEARNS & CO. INC.	CRD# 79	Topsfield, MA
B	07/21/1989 - 05/18/1992	FIRST ALBANY CORPORATION	CRD# 298	NEW YORK, NY
B	07/25/1986 - 07/10/1989	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	NEW YORK, NY

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
10/2010 - Present	JPMORGAN CHASE BANK, N.A.	Workforce Member	Y	BOSTON, MA, United States
10/2008 - Present	J.P. MORGAN SECURITIES LLC	Registered Representative	Y	BOSTON, MA, 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.

Effective 6/15/2018 I will be an employee of both JPMorgan Securities and JPMorgan Bank. JPMorgan Bank offers a broad range of products and services nationwide. As an employee of JPMorgan Bank I will be able to offer certain bank products and services, including deposit and credit products.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: BEAR STEARNS & CO., INC.

Allegations: +08/02/2001+ BREACHED CONTRACTUAL AND FIDUCIARY DUTIES TO CLAIMANT BY WRONGFULLY AND WITHOUT AUTHORIZATION SELLING STOCKS. RESPONDENT EMPLOYED DEVICES, SCHEMES, AND ARTIFICES TO DEFRAUD CLAIMANT INTO SELLING STOCKS AND EMPLOYED MISREPRESENTATIONS AND MATERIAL OMISSIONS BY FALSELY SENDING WRITTEN CONFIRMATION OF AN UNAUTHORIZED SALE OF SECURITIES AS "SOLICITED". RESPONDENT FAILED TO DISCLOSE THAT CLAIMANT HAD THE RIGHT TO RESCIND THE UNAUTHORIZED SALE OF STOCKS.

Product Type: Other

Other Product Type(s): STOCK

Alleged Damages: \$250,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #00-02271

Date Notice/Process Served: 05/30/2000

Arbitration Pending? No

Disposition: Award



Disposition Date: 06/28/2001

Disposition Detail: THE RESPONDENT SHALL BE AND HEREBY IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT THE SUM OF \$45,150.00 AS COMPENSATORY DAMAGES PLUS INTEREST. IN ADDITION, THE SUM OF \$4,500.00 AS PRE-HEARING INTEREST.

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BEAR, STEARNS & CO. INC.

Allegations: CLAIMANT SEEKS DAMAGES IN THE AMOUNT BETWEEN \$250,000 AND \$1,000,000 BASED ON ALLEGATIONS THAT ON FEBRUARY 14, 2000, I SOLD 1,200 SHARES OF RAMBUS STOCK WITHOUT AUTHORIZATION AND "WITHOUT ANY BASIS" I RECOMMENDED THE NEXT DAY THAT CLAIMANT SELL THE REST OF HIS SHARES, A RECOMMENDATION THAT CLAIMANT FOLLOWED. CLAIMANT ARGUES THAT ALTHOUGH HE MADE SIGNIFICANT PROFITS FROM THESE SALES, HE WOULD HAVE MADE MORE HAD HE SOLD THEM LATER.

Product Type: Equity-OTC

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 03/10/2000

Complaint Pending? No

Status: Denied

Status Date: 07/21/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD

Docket/Case #: 00-02271

Date Notice/Process Served: 07/21/2000

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/13/2001

Monetary Compensation Amount: \$45,150.00

Individual Contribution Amount: \$45,150.00

Broker Statement OUR COUNSEL DEMONSTRATED THAT I BELIEVED THAT I HAD TIME AND PRICE DISCRETION BUT THAT, EVEN IF THE PANEL WERE TO DETERMINE THAT I DIDN'T, CLAIMANT'S DECISION TO SELL THE REST OF HIS SHARES THE NEXT DAY DEMONSTRATED HIS RATIFICATION OF THE EARLIER SALE.



THIS RATIFICATION WAS SOLIDIFIED BY CLAIMANT'S FAILURE TO COMPLAIN ABOUT THE RAMBUS SALE UNTIL HE SAW ITS PRICE RISE DRAMATICALLY SEVERAL WEEKS LATER. THE PANEL AWARDED THE ONE DAY DIFFERENCE IN PRICE BETWEEN THE DAY I SOLD THE SHARES AND WHEN CLAIMANT SOLD THE REST OF HIS SHARES.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	FIRST ALBANY CORP.
Termination Type:	Permitted to Resign
Termination Date:	05/18/1992
Allegations:	N/A A CLIENT ALLEGED THAT I MADE AN UNAUTHORIZED TRADE IN HIS ACCOUNT. THE CLIENT WAS EDWARD CAPUTO.
Product Type:	
Other Product Types:	
Broker Statement	FIRST ALBANY SETTLED WITH THE CLIENT FOR ABOUT \$1500,00. BECAUSE OF THIS ALLEGED COMPLAINT, FIRST ALBANY TERMINATED MY EMPLOYMENT WITH THEM. I ADVISED MY CLIENT THAT I BOUGHT A BLOCK OF STOCK AND INQUIRED IF HE WANTED TO BE INCLUDED IN IT. IT WAS AFTER 4:00 THAT THE CLIENT ADVISED ME THAT HE WANTED THE STOCK. NOT UNTIL THE STOCK WAS DOWN FROM WHERE IT WAS BOUGHT DID THE CLIENT ALLEGE AN UNAUTHORIZED TRADE.



End of Report

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