



IAPD Report

JEFFREY LEE CORLISS

CRD# 1649445

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Information	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.



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

JEFFREY LEE CORLISS (CRD# 1649445)

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 **01/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	HIGHTOWER ADVISORS, LLC	CRD# 145323	10/14/2016
B	HIGHTOWER SECURITIES, LLC	CRD# 116681	05/23/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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
B	RDM INVESTMENT SERVICES, LLC	104266	WESTPORT, CT	01/24/2013 - 08/07/2017
IA	RETIREMENT DESIGN & MANAGEMENT INC	106067	WESTPORT, CT	01/24/2013 - 10/17/2016
B	METLIFE SECURITIES INC.	14251	STAMFORD, CT	11/17/2009 - 01/23/2013

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
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 **29** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **HIGHTOWER SECURITIES, LLC**
Main Address: 200 WEST MADISON STREET
SUITE 2500
CHICAGO, IL 60606-3414
Firm ID#: 116681

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	05/23/2017
B FINRA	General Securities Representative	Approved	05/23/2017
B FINRA	Municipal Securities Principal	Approved	05/23/2017
B FINRA	Municipal Securities Representative	Approved	05/23/2017
B Arizona	Agent	Approved	01/06/2020
B California	Agent	Approved	05/24/2017
B Colorado	Agent	Approved	06/23/2017
B Connecticut	Agent	Approved	05/23/2017
B Delaware	Agent	Approved	01/12/2021
B Florida	Agent	Approved	06/26/2017
B Georgia	Agent	Approved	01/04/2024
B Illinois	Agent	Approved	05/24/2017
B Indiana	Agent	Approved	01/06/2021



Qualifications

Regulator	Registration	Status	Date
B Kentucky	Agent	Approved	01/05/2024
B Maine	Agent	Approved	01/03/2020
B Maryland	Agent	Approved	05/25/2017
B Massachusetts	Agent	Approved	07/17/2017
B Nevada	Agent	Approved	01/06/2020
B New Hampshire	Agent	Approved	05/26/2017
B New Jersey	Agent	Approved	05/25/2017
B New Mexico	Agent	Approved	01/02/2025
B New York	Agent	Approved	06/26/2017
B North Carolina	Agent	Approved	06/06/2017
B Ohio	Agent	Approved	01/06/2025
B Oregon	Agent	Approved	01/06/2025
B Pennsylvania	Agent	Approved	05/24/2017
B Rhode Island	Agent	Approved	05/26/2017
B Texas	Agent	Approved	01/03/2025
B Vermont	Agent	Approved	06/26/2017
B Virgin Islands	Agent	Approved	12/14/2018
B Virginia	Agent	Approved	05/26/2017
B Washington	Agent	Approved	01/02/2025



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	01/03/2025

Branch Office Locations

10 Wright Street
First Floor
Westport, CT 06880

6501 Congress Ave. Ste. 240
Boca Raton, FL 33487

Employment 2 of 2

Firm Name: **HIGHTOWER ADVISORS, LLC**
 Main Address: 200 W. MADISON ST.
 SUITE 2500
 CHICAGO, IL 60606
 Firm ID#: 145323

Regulator	Registration	Status	Date
IA Connecticut	Investment Adviser Representative	Approved	10/14/2016
IA Florida	Investment Adviser Representative	Approved	03/06/2020

Branch Office Locations

HIGHTOWER ADVISORS, LLC
 10 Wright Street
 First Floor
 West Port, CT 06880





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, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	05/21/2009
 General Securities Principal Examination (S24)	Series 24	01/06/2003

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	04/25/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/03/2008
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/29/1987

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** professional designation(s) that may have been used to qualify as an Investment Advisor



representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/24/2013 - 08/07/2017	RDM INVESTMENT SERVICES, LLC	CRD# 104266	WESTPORT, CT
IA	01/24/2013 - 10/17/2016	RETIREMENT DESIGN & MANAGEMENT INC	CRD# 106067	WESTPORT, CT
B	11/17/2009 - 01/23/2013	METLIFE SECURITIES INC.	CRD# 14251	STAMFORD, CT
IA	11/17/2009 - 01/23/2013	METLIFE SECURITIES INC.	CRD# 14251	STAMFORD, CT
IA	04/18/2006 - 11/16/2009	METLIFE SECURITIES INC.	CRD# 14251	SHELTON, CT
B	03/28/2006 - 11/16/2009	METLIFE SECURITIES INC.	CRD# 14251	SHELTON, CT
B	03/28/2006 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	SHELTON, CT
B	07/19/2005 - 03/20/2006	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
IA	07/26/2005 - 03/14/2006	ROBERT J. REBY & COMPANY INC.	CRD# 126140	DANBURY, CT
B	10/15/2002 - 07/11/2005	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL
IA	10/15/2002 - 07/11/2005	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	STAMFORD, CT
B	08/14/2001 - 11/04/2002	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	09/25/2000 - 11/16/2000	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	04/26/1999 - 09/25/2000	FIS SECURITIES, INC.	CRD# 30533	BOSTON, MA
B	11/14/1988 - 04/22/1999	MONY SECURITIES CORPORATION	CRD# 4386	NEW YORK, NY
B	11/14/1988 - 10/15/1990	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	CRD# 2873	NEW YORK, NY



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	04/29/1987 - 03/23/1988	BLINDER, ROBINSON & CO., INC.	CRD# 5096	

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
05/2017 - Present	HighTower Securities, LLC	Executive Director	Y	Westport, CT, United States
10/2016 - Present	HighTower Advisors, LLC	Executive Director	Y	Westport, CT, United States
01/2013 - 05/2017	RDM INSURANCE SERVICES, INC.	AGENT	N	WESTPORT, CT, United States
01/2013 - 05/2017	RDM INVESTMENT SERVICES, INC.	SENIOR VP	Y	WESTPORT, CT, United States
01/2013 - 10/2016	RETIREMENT DESIGN & MANAGEMENT, INC.	SENIOR VP	Y	WESTPORT, CT, 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.

No information reported.



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
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Termination	1
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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:	CHARTER RESEARCH & INVESTMENT GROUP
Termination Type:	Discharged
Termination Date:	02/25/2001
Allegations:	TERMINATED IMMEDIATELY AFTER I DISCLOSED I HAD OMITTED TO MAKE DISCLOSURE ON FORM U-4, I HAD FILED A PERSONAL BANKRUPTCY WITHIN THE LAST 10 YEARS AND DID NOT DISCLOSE THIS ON MY U-4
Product Type:	Other
Other Product Types:	
Broker Statement	AS THE BANKRUPTCY WAS DISCLOSED AND FILED WITH THE NASD IN 1995, THIS INFORMATION WAS ALREADY IN MY FILE AND I DID NOT HAVE A REPORTABLE EVENTS SINCE. I FELT THAT I WAS NOT VIOLATING ANY DISCLOSURE RULES AND COULD ANSWER 'NO' TO THE QUESTION ON FORM U-4. AFTER MY TERMINATION AND CAREFULLY REREADING THE SUBJECT QUESTION, I NOW REALIZE THAT MY ANSWER WAS INADEQUATE AN THAT I SHOULD HAVE ANSWERED 'YES'. AT THE TIME I ANSWERED THE QUESTION, I DID NOT INTEND TO MISLEAD MY EMPLOYER NOR DID I BEKIEVE MY ANSWER TO BE INCORRECT.



End of Report

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