



IAPD Report

Mike Worthington

CRD# 1694611

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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

Mike Worthington (CRD# 1694611)

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 **03/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	12/19/2014
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	12/22/2014

QUALIFICATIONS

This representative is currently registered in **28** SRO(s) and **17** 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	AMERITAS INVESTMENT CORP	14869	SAN FRANCISCO, CA	05/05/2014 - 12/23/2014
B	AMERITAS INVESTMENT CORP.	14869	SAN FRANCISCO, CA	05/02/2014 - 12/23/2014
B	WTS PROPRIETARY TRADING GROUP LLC	148117	NEW YORK, NY	04/02/2014 - 04/30/2014

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
Regulatory Event	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 **17** 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
B	24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B	BOX Exchange LLC	General Securities Representative	Approved	12/19/2014
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/13/2019
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/13/2019
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	12/19/2014
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/13/2019
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/13/2019
B	Cboe Exchange, Inc.	General Securities Representative	Approved	12/19/2014
B	FINRA	General Securities Representative	Approved	12/19/2014
B	Investors' Exchange LLC	General Securities Representative	Approved	08/30/2016
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B	MEMX LLC	General Securities Representative	Approved	02/16/2021
B	MIAX Emerald, LLC	General Securities Representative	Approved	03/22/2019



Qualifications

Regulator	Registration	Status	Date
B MIAX PEARL, LLC	General Securities Representative	Approved	09/13/2019
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	09/13/2019
B NYSE American LLC	General Securities Representative	Approved	12/19/2014
B NYSE Arca, Inc.	General Securities Representative	Approved	12/19/2014
B NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B NYSE Texas, Inc.	General Securities Representative	Approved	12/19/2014
B Nasdaq GEMX, LLC	General Securities Representative	Approved	12/19/2014
B Nasdaq ISE, LLC	General Securities Representative	Approved	12/19/2014
B Nasdaq MRX, LLC	General Securities Representative	Approved	03/24/2016
B Nasdaq PHLX LLC	General Securities Representative	Approved	12/19/2014
B Nasdaq Stock Market	General Securities Representative	Approved	12/19/2014
B Nasdaq Texas, LLC	General Securities Representative	Approved	12/19/2014
B New York Stock Exchange	General Securities Representative	Approved	12/19/2014
B Texas Stock Exchange LLC	General Securities Representative	Approved	07/02/2026
B Alaska	Agent	Approved	10/26/2023
B Arizona	Agent	Approved	06/20/2018
B California	Agent	Approved	12/22/2014



Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	12/22/2014
B Florida	Agent	Approved	11/09/2023
B Hawaii	Agent	Approved	11/07/2019
B Idaho	Agent	Approved	05/27/2021
B Kansas	Agent	Approved	02/18/2026
B Montana	Agent	Approved	07/22/2022
B Nevada	Agent	Approved	04/24/2023
B New Jersey	Agent	Approved	03/13/2025
B New York	Agent	Approved	05/31/2021
B North Carolina	Agent	Approved	10/17/2022
B Oregon	Agent	Approved	06/07/2021
B Pennsylvania	Agent	Approved	08/20/2025
B Texas	Agent	Approved	10/18/2019
IA Texas	Investment Adviser Representative	Restricted Approval	10/22/2019
B Utah	Agent	Approved	10/17/2022
B Washington	Agent	Approved	07/21/2021

Branch Office Locations

J.P. MORGAN SECURITIES LLC
630 E Blithedale Ave
Mill Valley, CA 94941

J.P. MORGAN SECURITIES LLC
1535 TIBURON BLVD
TIBURON, CA 94920



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

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 Limited Representative-Equity Trader Exam (S55)	Series 55	11/10/2010
B General Securities Representative Examination (S7)	Series 7	10/13/2010

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/03/2012
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/20/2010



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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	05/05/2014 - 12/23/2014	AMERITAS INVESTMENT CORP	CRD# 14869	SAN FRANCISCO, CA
B	05/02/2014 - 12/23/2014	AMERITAS INVESTMENT CORP.	CRD# 14869	SAN FRANCISCO, CA
B	04/02/2014 - 04/30/2014	WTS PROPRIETARY TRADING GROUP LLC	CRD# 148117	NEW YORK, NY
B	10/14/2010 - 05/07/2012	S F SENTRY SECURITIES, INC.	CRD# 27432	SAN FRANCISCO, CA

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
01/2017 - Present	JP MORGAN SECURITIES, LLC	PRIVATE CLIENT ADVISOR	Y	NOVATO, CA, United States
01/2016 - Present	JPMORGAN CHASE BANK	PRIVATE CLIENT ADVISOR	Y	NOVATO, CA, United States
11/2014 - 01/2017	J.P.MORGAN SECURITIES	FINANCIAL ADVISOR ASSOCIATE	Y	SAN RAFAEL, CA, 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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	PACIFIC STOCK EXCHANGE
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	CENSURE
Date Initiated:	11/27/2002
Docket/Case Number:	05-03
Employing firm when activity occurred which led to the regulatory action:	SEQUOIA TRADING
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	WORTHINGTON AND SEQUOIA VIOLATED PCXE RULE 7.22(C) WHEN WORTHINGTON, ON BEHALF OF SEQUOIA, TERMINATED SEQUOIA'S REGISTRATION AS AN ARCAEX MARKET MAKER IN GE WITHOUT GIVING THE REQUIRED ADVANCE WRITTEN NOTICE OF TERMINATION TO PCXE. ADDITIONALLY, WORTHINGTON AND SEQUOIA FAILED TO ENGAGE IN A COURSE OF DEALINGS FOR THEIR OWN ACCOUNT TO ASSIST IN THE MAINTENANCE OF FAIR AND ORDERLY MARKETS, IN VIOLATION OF PCXE RULES 7.23(A) THROUGH (C), IN THAT WORTHINGTON, ON BEHALF OF SEQUOIA, ALLOWED SEQUOIA'S MMAT AND ITS AT TO DEPART SEQUOIA'S OFFICE FOR THE DAY DURING CORE TRADING HOURS, WITHOUT LEAVING ANYONE IN SEQUOIA'S OFFICE TO CONDUCT, MONITOR OR SUPERVISE SEQUOIA'S MARKET MAKING ACTIVITIES IN GE, AND WITHOUT OBTAINING EXCHANGE APPROVAL TO VOLUNTARILY TERMINATE SEQUOIA'S REGISTRATION AS AN ARCAEX MARKET MAKER IN GE FOR THE



REMAINDER OF THE DAY. ADDITIONALLY, WORTHINGTON AND SEQUOIA VIOLATED PCXE RULE 6.2(B) WHEN WORTHINGTON, ON BEHALF OF SEQUOIA, WILLFULLY VIOLATED PCXE RULES 7.22(C) AND 7.23(A)-(C). FINALLY, WORTHINGTON AND SEQUOIA VIOLATED PCXE RULE 6.11 WHEN WORTHINGTON, ON BEHALF OF SEQUOIA, FAILED TO NOTIFY THE EXCHANGE OF SEQUOIA'S FINANCIAL ARRANGEMENT WITH ANOTHER INDIVIDUAL WITHIN THE TIME AND MANNER SPECIFIED BY PCX.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 06/01/2005

Sanctions Ordered: Censure
Monetary/Fine \$7,000.00

Other Sanctions Ordered:

Sanction Details: \$7,000.00 FINE, JOINT AND SEVERAL WITH SEQUOIA TRADING, PAID IN TWO EQUAL INSTALLMENTS AT THE END OF JUNE 2005 AND AT AT THE END OF JULY 2005.

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Reporting Source: Individual

Regulatory Action Initiated By: PACIFIC STOCK EXCHANGE

Sanction(s) Sought: Censure
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 11/27/2002

Docket/Case Number: 05-03

Employing firm when activity occurred which led to the regulatory action: SEQUOIA TRADING

Product Type: Equity Listed (Common & Preferred Stock)

Allegations: WORTHINGTON AND SEQUOIA VIOLATED PCXE RULE 7.22(C) WHEN WORTHINGTON, ON BEHALF OF SEQUOIA, TERMINATED SEQUOIA'S REGISTRATION AS AN ARCAEX MARKET MAKER IN GE WITHOUT GIVING THE REQUIRED ADVANCE WRITTEN NOTICE OF TERMINATION TO PCXE. ADDITIONALLY, WORTHINGTON AND SEQUOIA FAILED TO ENGAGE IN A COURSE OF DEALINGS FOR THEIR OWN ACCOUNT TO ASSIST IN THE MAINTENANCE OF FAIR AND ORDERLY MARKETS, IN VIOLATION OF PCXE RULES 7.23(A) THROUGH (C), IN THAT WORTHINGTON, ON BEHALF OF SEQUOIA, ALLOWED SEQUOIA'S MMAT AND ITS AT TO DEPART SEQUOIA'S OFFICE FOR THE DAY DURING CORE TRADING HOURS, WITHOUT LEAVING ANYONE IN SEQUOIA'S OFFICE TO CONDUCT, MONITOR OR SUPERVISE SEQUOIA'S MARKET MAKING ACTIVITIES IN GE, AND WITHOUT OBTAINING EXCHANGE APPROVAL TO VOLUNTARILY TERMINATE SEQUOIA'S REGISTRATION AS AN ARCAEX MARKET MAKER IN GE FOR THE



REMAINDER OF THE DAY. ADDITIONALLY, WORTHINGTON AND SEQUOIA VIOLATED PCXE RULE 6.2(B) WHEN WORTHINGTON, ON BEHALF OF SEQUOIA, WILLFULLY VIOLATED PCXE RULES 7.22(C) AND 7.23(A)-(C). FINALLY, WORTHINGTON AND SEQUOIA VIOLATED PCXE RULE 6.11 WHEN WORTHINGTON, ON BEHALF OF SEQUOIA, FAILED TO NOTIFY THE EXCHANGE OF SEQUOIA'S FINANCIAL ARRANGEMENT WITH ANOTHER INDIVIDUAL WITHIN THE TIME AND MANNER SPECIFIED BY PCX.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 06/01/2005

Sanctions Ordered: Censure
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$7,000.00

Portion Levied against individual: \$7,000.00

Payment Plan: \$7,000.00 FINE, JOINT AND SEVERAL WITH SEQUOIA TRADING, PAID IN TWO EQUAL INSTALLMENTS AT THE END OF JUNE 2005 AND AT AT THE END

Is Payment Plan Current: Yes

Date Paid by individual: 06/30/2005

Was any portion of penalty waived? No

Amount Waived:



End of Report

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