



IAPD Report

NELSON EDWARD LINK JR

CRD# 1763815

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 8
Registration and Employment History	9 - 10
Disclosure Information	11



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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

NELSON EDWARD LINK JR (CRD# 1763815)

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 **04/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	05/03/2021
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	05/03/2021

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **30** 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	UBS FINANCIAL SERVICES INC.	8174	ROANOKE, VA	02/28/2012 - 05/13/2021
IA	UBS FINANCIAL SERVICES INC.	8174	ROANOKE, VA	02/27/2012 - 05/13/2021
B	MORGAN STANLEY SMITH BARNEY	149777	ROANOKE, VA	06/01/2009 - 03/05/2012

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	3



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 **30** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**
Main Address: 200 VESEY ST.
NEW YORK, NY 10281
Firm ID#: 31194

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Principal	Approved	05/03/2021
B BOX Exchange LLC	General Securities Representative	Approved	05/03/2021
B BOX Exchange LLC	Registered Options Principal	Approved	05/03/2021
B Cboe BYX Exchange, Inc.	General Securities Principal	Approved	05/03/2021
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/03/2021
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	05/03/2021
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/03/2021
B Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	05/03/2021
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	05/03/2021
B Cboe C2 Exchange, Inc.	Registered Options Principal	Approved	05/03/2021
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	07/06/2021
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	05/03/2021
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/03/2021



Qualifications

Regulator	Registration	Status	Date
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	05/03/2021
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/03/2021
B Cboe EDGX Exchange, Inc.	Registered Options Principal	Approved	05/03/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	05/03/2021
B Cboe Exchange, Inc.	Registered Options Principal	Approved	05/03/2021
B Cboe Exchange, Inc.	General Securities Principal	Approved	07/06/2021
B FINRA	General Securities Principal	Approved	05/03/2021
B FINRA	General Securities Representative	Approved	05/03/2021
B FINRA	Registered Options Principal	Approved	05/03/2021
B Investors' Exchange LLC	General Securities Principal	Approved	05/03/2021
B Investors' Exchange LLC	General Securities Representative	Approved	05/03/2021
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	05/03/2021
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	05/03/2021
B MEMX LLC	General Securities Principal	Approved	05/03/2021
B MEMX LLC	General Securities Representative	Approved	05/03/2021
B MIAX PEARL, LLC	General Securities Principal	Approved	05/03/2021
B MIAX PEARL, LLC	General Securities Representative	Approved	05/03/2021
B MIAX PEARL, LLC	Registered Options Principal	Approved	05/03/2021



Qualifications

Regulator	Registration	Status	Date
B NYSE American LLC	General Securities Principal	Approved	05/03/2021
B NYSE American LLC	General Securities Representative	Approved	05/03/2021
B NYSE American LLC	Registered Options Principal	Approved	05/03/2021
B NYSE American LLC	Securities Manager	Approved	05/03/2021
B NYSE Arca, Inc.	General Securities Principal	Approved	05/03/2021
B NYSE Arca, Inc.	General Securities Representative	Approved	05/03/2021
B NYSE Arca, Inc.	Registered Options Principal	Approved	05/03/2021
B NYSE National, Inc.	General Securities Principal	Approved	05/03/2021
B NYSE National, Inc.	General Securities Representative	Approved	05/03/2021
B NYSE Texas, Inc.	General Securities Principal	Approved	05/03/2021
B NYSE Texas, Inc.	General Securities Representative	Approved	05/03/2021
B Nasdaq GEMX, LLC	General Securities Principal	Approved	05/03/2021
B Nasdaq GEMX, LLC	General Securities Representative	Approved	05/03/2021
B Nasdaq GEMX, LLC	Registered Options Principal	Approved	05/03/2021
B Nasdaq ISE, LLC	General Securities Principal	Approved	05/03/2021
B Nasdaq ISE, LLC	General Securities Representative	Approved	05/03/2021
B Nasdaq ISE, LLC	Registered Options Principal	Approved	05/03/2021
B Nasdaq PHLX LLC	General Securities Principal	Approved	05/03/2021
B Nasdaq PHLX LLC	General Securities Representative	Approved	05/03/2021



Qualifications

Regulator	Registration	Status	Date
B Nasdaq PHLX LLC	Registered Options Principal	Approved	05/03/2021
B Nasdaq Stock Market	General Securities Principal	Approved	05/03/2021
B Nasdaq Stock Market	General Securities Representative	Approved	05/03/2021
B Nasdaq Stock Market	Registered Options Principal	Approved	05/03/2021
B Nasdaq Texas, LLC	General Securities Principal	Approved	05/03/2021
B Nasdaq Texas, LLC	General Securities Representative	Approved	05/03/2021
B Nasdaq Texas, LLC	Registered Options Principal	Approved	05/03/2021
B New York Stock Exchange	General Securities Principal	Approved	05/03/2021
B New York Stock Exchange	General Securities Representative	Approved	05/03/2021
B New York Stock Exchange	Securities Manager	Approved	05/03/2021
B Arkansas	Agent	Approved	04/23/2026
B California	Agent	Approved	05/03/2021
B Colorado	Agent	Approved	05/03/2021
B Connecticut	Agent	Approved	05/04/2021
B Delaware	Agent	Approved	05/03/2021
B Florida	Agent	Approved	05/03/2021
B Georgia	Agent	Approved	05/04/2021
B Hawaii	Agent	Approved	11/13/2024
B Illinois	Agent	Approved	11/17/2021



Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	05/03/2021
B Iowa	Agent	Approved	03/20/2025
B Kentucky	Agent	Approved	05/03/2021
B Maryland	Agent	Approved	05/03/2021
B Massachusetts	Agent	Approved	05/26/2021
B Missouri	Agent	Approved	05/03/2021
B Nevada	Agent	Approved	05/03/2021
B New Hampshire	Agent	Approved	03/07/2022
B New York	Agent	Approved	05/03/2021
B North Carolina	Agent	Approved	05/03/2021
B Ohio	Agent	Approved	05/03/2021
B Pennsylvania	Agent	Approved	05/03/2021
B South Carolina	Agent	Approved	05/03/2021
IA South Carolina	Investment Adviser Representative	Approved	02/10/2026
B Tennessee	Agent	Approved	05/03/2021
B Texas	Agent	Approved	05/03/2021
IA Texas	Investment Adviser Representative	Restricted Approval	05/03/2021
B Utah	Agent	Approved	03/02/2026



Qualifications

Regulator	Registration	Status	Date
B Vermont	Agent	Approved	05/03/2021
B Virginia	Agent	Approved	05/03/2021
IA Virginia	Investment Adviser Representative	Approved	05/03/2021
B West Virginia	Agent	Approved	05/04/2021
B Wisconsin	Agent	Approved	05/03/2021
B Wyoming	Agent	Approved	03/10/2025

Branch Office Locations

RBC CAPITAL MARKETS, LLC
110 Franklin Road SE
Suite 400
Roanoke, VA 24011

RBC CAPITAL MARKETS, LLC
Isle of Palms, SC



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
Registered Options Principal Examination (S4)	Series 4	02/21/1991
General Securities Principal Examination (S24)	Series 24	07/10/1990

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	10/07/1997
General Securities Representative Examination (S7)	Series 7	01/16/1988

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	09/26/1991
Uniform Securities Agent State Law Examination (S63)	Series 63	03/25/1988

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
B	02/28/2012 - 05/13/2021	UBS FINANCIAL SERVICES INC.	CRD# 8174	ROANOKE, VA
IA	02/27/2012 - 05/13/2021	UBS FINANCIAL SERVICES INC.	CRD# 8174	ROANOKE, VA
B	06/01/2009 - 03/05/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	ROANOKE, VA
IA	06/01/2009 - 03/05/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	ROANOKE, VA
IA	11/13/2000 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ROANOKE, VA
B	10/23/2000 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ROANOKE, VA
B	07/07/1995 - 10/31/2000	WACHOVIA SECURITIES, INC.	CRD# 431	CHARLOTTE, NC
B	11/01/1993 - 07/07/1995	CRESTAR SECURITIES CORPORATION	CRD# 17464	RICHMOND, VA
B	05/28/1993 - 06/10/1994	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	05/18/1990 - 05/28/1993	DOMINION INVESTMENT BANKING, INC.	CRD# 17523	
B	07/24/1989 - 05/14/1990	DAVENPORT & CO. OF VIRGINIA, INC.	CRD# 1588	RICHMOND, VA
B	01/19/1988 - 06/29/1989	ROBERT THOMAS SECURITIES, INC	CRD# 10147	

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
09/2021 - Present	City National Bank	Employee of an Affiliate	Y	Roanoke, VA, United States
04/2021 - Present	RBC Capital Markets, LLC	Registered Representative	Y	Roanoke, VA, United States
02/2012 - 04/2021	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	ROANOKE, VA, United States



Registration & Employment History



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.

NAME OF ENTITY: Presbyterian Community Center

ADDRESS: 1228 Jamison Ave SE Roanoke VA 24013

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Non-profit Community Center providing food and after school services to at-need families

CAPACITY: Director

START DATE: 5/2/2021

DUTIES: Attend 10 board meetings annually

HOURS DEVOTED PER MONTH: 1

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0



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	3

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 3

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF WISCONSIN / OFFICE OF THE COMMISSIONER OF INSURANCE
Sanction(s) Sought:	Other: N/A
Date Initiated:	02/26/2010
Docket/Case Number:	10-C32854
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY
Product Type:	No Product
Allegations:	THE STATE COMMISSIONER ALLEGES MR. LINK DID NOT ACCURATELY COMPLETE THE APPLICATION FORM AND DID NOT DISCLOSE AN ADMINISTRATIVE ACTION. MR. LINK ANSWERED IN THE NEGATIVE A QUESTION THAT HE SHOULD HAVE ANSWERED IN THE AFFIRMATIVE.
Current Status:	Final
Resolution:	ADMINISTRATIVE ACTION
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:	04/01/2010
Sanctions Ordered:	Denial



Broker Statement THE OCI DENIED MR. LINK'S APPLICATION FOR INTERMEDIARY LICENSE FOR 31 DAYS. FROM 4/1/2010 TO 5/2/2010. "THIS TEMPORARY DENIAL RELATES TO FAILING TO DISCLOSE A NON-INDUSTRY AND NON-INVESTMENT RELATED EVENT INVOLVING A HUNTING VIOLATION I RECEIVED IN 2000 ON MY INSURANCE APPLICATION FOR THE STATE OF WISCONSIN . THIS WAS AN INADVERTENT OVERSIGHT. FOLLOWING THE 31 DAY DELAY, I WAS ADMITTED INTO THE STATE AND HAVE HAD NO ISSUES WITH WISCONSIN SINCE"

Disclosure 2 of 3

Reporting Source: Individual
Regulatory Action Initiated By: NEW YORK STATE DEPT OF FINANCIAL SERVICES

Sanction(s) Sought: Other: N/A

Date Initiated: 05/31/2012

Docket/Case Number: CSB-2012-805369

Employing firm when activity occurred which led to the regulatory action: UBS FINANCIAL SERVICES INC.

Product Type: No Product

Allegations: THE DEPARTMENT ALLEGES THAT RESPONDENT VIOLATED SECTIONS 2110(I), 2110(A)(2) & 2103(A) OF NEW YORK STATE INSURANCE LAW. MR. LINK DID NOT REPORT HE WAS FINED \$500 BY THE STATE OF WEST VIRGINIA INSURANCE COMMISSIONER. THE STATE OF WISCONSIN, OFFICE OF THE COMMISSIONER OF INSURANCE DENIED HIS APPLICATION FOR A PERMANENT INDIVIDUAL INTERMEDIARY AGENT'S INSURANCE LICENSE FOR 31 DAYS BECAUSE HE PROVIDED INCOMPLETE INFORMATION ON HIS RENEWAL APPLICATION.

Current Status: Final

Resolution: Stipulation and Consent

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: 03/31/2013

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

Monetary Sanction 1 of 1

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

Total Amount: \$1,500.00

Portion Levied against individual: \$1,500.00

Payment Plan: N/A

Is Payment Plan Current: Yes



Date Paid by individual:	03/21/2013
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	THIS MATTER STEMS FROM A HUNTING VIOLATION IN 2000 AND AN INADVERTENT ERROR IN NOT REPORTING THE MATTER. THIS AGREEMENT WITH NEW YORK STATE IS NOT RELATED TO ANY CLIENT WRONGDOING WITH RESPECT TO MY CAREER AS A FINANCIAL ADVISOR.
Disclosure 3 of 3	
Reporting Source:	Individual
Regulatory Action Initiated By:	WEST VIRGINIA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	CONSENT ORDER
Date Initiated:	01/01/2004
Docket/Case Number:	04-AP-001
Employing firm when activity occurred which led to the regulatory action:	CITIGROUP GLOBAL MARKETS INC.
Product Type:	Insurance
Other Product Type(s):	VARIABLE ANNUITIES
Allegations:	IN NOVEMBER 2000, I WAS CHARGED WITH A NON-INVESTMENT RELATED MISDEMEANOR (CARRYING A FIREARM WHILE HUNTING WITH A BOW). IN RESPONSE TO QUESTIONS ON ANY STATE INSURANCE APPLICATION, "NO" WAS CHECKED ON SOME OF THE FORMS AND "YES" WAS CHECKED ON OTHERS. I DID NOT NOTICE THIS INADVERTENT OVERSIGHT.
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/19/2004
Sanctions Ordered:	Monetary/Fine \$500.00
Other Sanctions Ordered:	
Sanction Details:	I PAID A \$500.00 FINE TO RESOLVE THIS INADVERTENT OVERSIGHT. THE MATTER HAS BEEN CLOSED.
Broker Statement	I PAID A \$500.00 FINE TO RESOLVE THIS INADVERTENT OVERSIGHT. THE MATTER HAS BEEN CLOSED.



End of Report

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