IAPD Report

LISA KIDD HUNT

CRD# 1898903

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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

LISA KIDD HUNT (CRD# 1898903)

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	CHARLES SCHWAB & CO., INC.	CRD# 5393	03/09/1992
IA	CHARLES SCHWAB & CO., INC.	CRD# 5393	04/05/2001

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **3** 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	DOMINICK & DOMINICK, INCORPORATED	7344	OLD GREENWICH, CT	11/23/1988 - 02/24/1992

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**

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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 **3** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CHARLES SCHWAB & CO., INC.**

Main Address: 425 MARKET STREET
17TH FLOOR
SAN FRANCISCO, CA 94105

Firm ID#: 5393

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/09/1992
B	FINRA	General Securities Sales Supervisor	Approved	11/14/1997
B	FINRA	General Securities Principal	Approved	10/06/2002
B	FINRA	Operations Professional	Approved	12/14/2011
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	District of Columbia	Agent	Approved	03/10/1992
B	Maryland	Agent	Approved	03/09/1992
IA	Maryland	Investment Adviser Representative	Approved	04/06/2001
B	Virginia	Agent	Approved	03/10/1992

Branch Office Locations

CHARLES SCHWAB & CO., INC.
7401 Wisconsin Ave

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Qualifications

Suite 100
Bethesda, MD 20814-3400

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	10/02/2002
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	11/11/1997

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/19/1988

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/15/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/07/1988

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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.

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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	11/23/1988 - 02/24/1992	DOMINICK & DOMINICK, INCORPORATED	CRD# 7344	OLD GREENWICH, CT

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
05/2012 - Present	SIFMA	DIRECTOR	N	NEW YORK, NY, United States
02/1992 - Present	CHARLES SCHWAB & CO., INC.	EVP, International Services and Business Initiatives	Y	BETHESDA, MD, United States
03/2005 - 04/2018	CHARLES SCHWAB BANK	DUAL EMPLOYEE	Y	BETHESDA, MD, 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.

1) SIFMA | START DATE 05/01/2012 | FINANCIAL SERVICES DIRECTOR | NEW YORK, NY | NOT INVESTMENT RELATED | MEMBER OF THE BOARD OF DIRECTOR OF HIS MEMBER GROUP OF FINANCIAL SERVICES COMPANIES | LESS THAN 20 HOURS PER MONTH - 0 DURING TRADING

2) SIFMA FIE; 04/26/2018; NEW YORK, NEW YORK; BOARD OF DIRECTORS; NOT INVESTMENT RELATED; ASSISTS IN FINANCIAL LITERACY PROGRAMS; LESS THAN 20 HOURS PER MONTH; NOT DURING SECURITIES TRADING HOURS.

3) Shanghai Advanced Institute of Finance (SAIF) | Investment Related: No | 211 West Huaihai Road; Shanghai; China; 00000; China | Education | International Expert Board of Program Development Member | 2023-05-27 | Hours Per Month: Less than 20 | Hours Spent during Security Trading: 0 | Provide thought leadership with other industry leaders to help shape SAIF's leadership position as a leading university for business minded students.

4) University System of Maryland Foundation|Investment Related:No|3300 Matzerott Rd;Adelphi;Maryland;20783;USA|Education|Director|2023-11-16|Hours Per Month:Less than 20|Hours Spent during Security Trading:0|This is an adjunct assignment to my role as a University of Maryland Foundation Trustee. This is the Maryland system of university and colleges

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End of Report

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