



## IAPD Report

# Patrick Sweeney

CRD# 1903683

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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

### Patrick Sweeney (CRD# 1903683)

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 **04/12/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	J.P. MORGAN SECURITIES LLC	CRD# 79	02/13/2024
<b>IA</b>	J.P. MORGAN SECURITIES LLC	CRD# 79	04/12/2024

### QUALIFICATIONS

This representative is currently registered in **26** SRO(s) and **4** 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>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Conshohocken, PA	07/07/2020 - 12/26/2023
<b>B</b>	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ	11/11/2019 - 03/16/2020
<b>B</b>	MORGAN STANLEY	149777	PURCHASE, NY	07/16/2013 - 09/27/2019

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**



## 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 **4** jurisdiction(s) and 26 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**

Main Address: 383 MADISON AVE  
NEW YORK, NY 10179

Firm ID#: 79

	Regulator	Registration	Status	Date
<b>B</b>	BOX Exchange LLC	General Securities Principal	Approved	02/13/2024
<b>B</b>	BOX Exchange LLC	General Securities Representative	Approved	02/13/2024
<b>B</b>	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	02/13/2024
<b>B</b>	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	02/13/2024
<b>B</b>	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	02/13/2024
<b>B</b>	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	02/13/2024
<b>B</b>	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	02/13/2024
<b>B</b>	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	02/13/2024
<b>B</b>	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	02/13/2024
<b>B</b>	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	02/13/2024
<b>B</b>	Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	02/13/2024
<b>B</b>	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	02/13/2024
<b>B</b>	Cboe Exchange, Inc.	General Securities Principal	Approved	02/13/2024



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	02/13/2024
<b>B</b> FINRA	General Securities Principal	Approved	02/13/2024
<b>B</b> FINRA	General Securities Representative	Approved	02/13/2024
<b>B</b> Investors' Exchange LLC	General Securities Principal	Approved	02/13/2024
<b>B</b> Investors' Exchange LLC	General Securities Representative	Approved	02/13/2024
<b>B</b> Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	02/13/2024
<b>B</b> Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	02/13/2024
<b>B</b> MEMX LLC	General Securities Principal	Approved	02/13/2024
<b>B</b> MEMX LLC	General Securities Representative	Approved	02/13/2024
<b>B</b> MIAX Emerald, LLC	General Securities Principal	Approved	02/13/2024
<b>B</b> MIAX Emerald, LLC	General Securities Representative	Approved	02/13/2024
<b>B</b> MIAX PEARL, LLC	General Securities Principal	Approved	02/13/2024
<b>B</b> MIAX PEARL, LLC	General Securities Representative	Approved	02/13/2024
<b>B</b> MIAX Sapphire	General Securities Principal	Approved	09/23/2024
<b>B</b> MIAX Sapphire	General Securities Representative	Approved	09/23/2024
<b>B</b> Miami International Securities Exchange, LLC	General Securities Principal	Approved	02/13/2024
<b>B</b> Miami International Securities Exchange, LLC	General Securities Representative	Approved	02/13/2024
<b>B</b> NYSE American LLC	General Securities Principal	Approved	02/13/2024



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> NYSE American LLC	General Securities Representative	Approved	02/13/2024
<b>B</b> NYSE Arca, Inc.	General Securities Principal	Approved	02/13/2024
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	02/13/2024
<b>B</b> NYSE National, Inc.	General Securities Principal	Approved	02/13/2024
<b>B</b> NYSE National, Inc.	General Securities Representative	Approved	02/13/2024
<b>B</b> NYSE Texas, Inc.	General Securities Principal	Approved	02/13/2024
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	02/13/2024
<b>B</b> Nasdaq BX, Inc.	General Securities Principal	Approved	02/13/2024
<b>B</b> Nasdaq BX, Inc.	General Securities Representative	Approved	02/13/2024
<b>B</b> Nasdaq GEMX, LLC	General Securities Principal	Approved	02/13/2024
<b>B</b> Nasdaq GEMX, LLC	General Securities Representative	Approved	02/13/2024
<b>B</b> Nasdaq ISE, LLC	General Securities Principal	Approved	02/13/2024
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	02/13/2024
<b>B</b> Nasdaq MRX, LLC	General Securities Principal	Approved	02/13/2024
<b>B</b> Nasdaq MRX, LLC	General Securities Representative	Approved	02/13/2024
<b>B</b> Nasdaq PHLX LLC	General Securities Principal	Approved	02/13/2024
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	02/13/2024
<b>B</b> Nasdaq Stock Market	General Securities Principal	Approved	02/13/2024
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	02/13/2024



Qualifications

Regulator	Registration	Status	Date
<b>B</b> New York Stock Exchange	General Securities Principal	Approved	02/13/2024
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	02/13/2024
<b>B</b> Connecticut	Agent	Approved	02/13/2024
<b>B</b> New Jersey	Agent	Approved	02/13/2024
<b>B</b> New York	Agent	Approved	02/13/2024
<b>IA</b> New York	Investment Adviser Representative	Approved	04/12/2024
<b>IA</b> Texas	Investment Adviser Representative	Approved	04/12/2024

Branch Office Locations

**J.P. MORGAN SECURITIES LLC**  
250 S Middletown Rd, Floor 02  
Nanuet, NY 10954



## 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 1 principal/supervisory exam, 2 general industry/product exams, and 3 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	09/29/2005

#### 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	07/25/1990

#### State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/22/2024
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/08/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/29/1990



### 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>B</b>	07/07/2020 - 12/26/2023	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Conshohocken, PA
<b>B</b>	11/11/2019 - 03/16/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
<b>B</b>	07/16/2013 - 09/27/2019	MORGAN STANLEY	CRD# 149777	PURCHASE, NY
<b>B</b>	01/03/2005 - 06/03/2013	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
<b>B</b>	11/05/2003 - 01/19/2005	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
<b>B</b>	03/23/2001 - 12/04/2001	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	JERSEY CITY, NJ
<b>B</b>	08/21/2000 - 11/10/2000	CREDIT SUISSE FIRST BOSTON PRIVATE ADVISOR, LLC	CRD# 103821	NEW YORK, NY
<b>B</b>	08/02/2000 - 08/21/2000	CREDIT SUISSE FIRST BOSTON CORPORATION	CRD# 816	NEW YORK, NY
<b>B</b>	05/05/1999 - 07/24/2000	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL
<b>B</b>	01/03/1996 - 06/05/1997	ZWEIG SECURITIES CORP.	CRD# 22898	HARTFORD, CT
<b>B</b>	11/24/1992 - 03/24/1995	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
<b>B</b>	10/04/1991 - 07/17/1992	WATERHOUSE SECURITIES, INC.	CRD# 7870	OMAHA, NE
<b>B</b>	07/30/1990 - 07/29/1991	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, 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
01/2024 - Present	J.P. Morgan Securities LLC	VP Wealth Management Specialist	Y	Nanuet, NY, United States



## Registration & Employment History



### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2024 - Present	JPMorgan Chase Bank, N.A.	VP Wealth Management Specialist	Y	Nanuet, NY, United States
06/2020 - 12/2023	Ameriprise Financial Services, LLC	Registered Rep	Y	Morristown, NJ, United States
04/2020 - 05/2020	Unemployed	Unemployed	N	Ramsey, NJ, United States
10/2019 - 03/2020	UBS Financial Services Inc.	Registered Rep	N	Weehawken, NJ, United States
05/2013 - 09/2019	MORGAN STANLEY	NATIONAL TRAINING OFFICER	Y	PURCHASE, NY, 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.



## End of Report

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