



IAPD Report

MICHAEL JAMES REILLY

CRD# 2006998

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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

MICHAEL JAMES REILLY (CRD# 2006998)

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 **12/04/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MINT ASSET MANAGEMENT LLC	CRD# 315568	04/15/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	AVALON	168033	Avon, CT	01/04/2016 - 09/23/2024
IA	LPL FINANCIAL LLC	6413	AVON, CT	08/27/2010 - 01/04/2016
B	LPL FINANCIAL LLC	6413	AVON, CT	01/26/2009 - 12/31/2015

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
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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MINT ASSET MANAGEMENT LLC**
Main Address: 165 BROADWAY
23RD FLOOR
NEW YORK, NY 10006
Firm ID#: 315568

	Regulator	Registration	Status	Date
	Connecticut	Investment Adviser Representative	Approved	04/15/2024
	Texas	Investment Adviser Representative	Restricted Approval	09/12/2024

Branch Office Locations

MINT ASSET MANAGEMENT LLC
WEST HARTFORD, CT



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination (S24)	Series 24	03/24/1994

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	12/31/2015
B General Securities Representative Examination (S7)	Series 7	11/17/1993
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/20/1989

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/31/1998
B Uniform Securities Agent State Law Examination (S63)	Series 63	01/03/1994

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

This representative holds or did hold **1** 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
IA	01/04/2016 - 09/23/2024	AVALON	CRD# 168033	Avon, CT
IA	08/27/2010 - 01/04/2016	LPL FINANCIAL LLC	CRD# 6413	AVON, CT
B	01/26/2009 - 12/31/2015	LPL FINANCIAL LLC	CRD# 6413	AVON, CT
IA	06/04/2009 - 12/22/2009	UNIFIED WEALTH MANAGEMENT, LLC	CRD# 133202	AVON, CT
IA	01/26/2009 - 05/27/2009	LPL FINANCIAL CORPORATION	CRD# 6413	AVON, CT
IA	01/25/1999 - 05/26/2009	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	AVON, CT
B	01/28/1997 - 02/03/2009	SECURITIES AMERICA, INC.	CRD# 10205	AVON, CT
B	12/09/1993 - 01/24/1997	EDWARD D. JONES & CO., L.P.	CRD# 250	ST. LOUIS, MO
B	12/21/1989 - 12/14/1993	ALLMERICA INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA

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
03/2024 - Present	MINT ASSET MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	NEW YORK, NY, United States
11/2015 - 03/2024	Rowe Wealth Management LLC d/b/a Avalon	Investment Adviser Representative	Y	Avon, 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
Regulatory Event	1
Termination	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: NYSE DIVISION OF ENFORCEMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/20/1998

Docket/Case Number: 98-85

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

Product Type:

Other Product Type(s):

Allegations: ** 07/20/1998** STIPULATION AND CONSENT TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. CONSENTED TO FINDINGS: 1. VIOLATED EXCHANGE RULE 346(b) IN THAT HE ENGAGED IN AN OUTSIDE BUSINESS ACTIVITY, AND RECEIVED COMPENSATION FROM A PERSON OTHER THAN HIS EMPLOYER, WITHOUT THE PRIOR WRITTEN CONSENT OF HIS MEMBER ORGANIZATION EMPLOYER; AND 2. ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE MADE MISSTATEMENTS ON A DISCLOSURE QUESTIONNAIRE UTILIZED BY HIS MEMBER ORGANIZATION EMPLOYER. CONSENTED TO A IMPOSITION OF THE PENALTY OF A



Current Status: CENSURE AND A SIX WEEK BAR.
Final

Resolution: Stipulation and Consent

Resolution Date: 10/01/1998

Sanctions Ordered: Bar
Censure

Other Sanctions Ordered:

Sanction Details: **08/21/1998** DECISION HPD#98-85 BY NYSE HEARING PANEL. VIOLATED RULE 346(b) BY ENGAGING IN OUTSIDE BUSINESS ACTIVITY WITHOUT EMPLOYER CONSENT; MADE MISSTATEMENTS ON EMPLOYER QUESTIONNAIRE. CONSENT TO A CENSURE AND SIX WEEK BAR.

Regulator Statement **10/1/1998** THE DECISION IN NOW FINAL. THE BAR OR SUSPENSION IMPOSED IS EFFECTIVE OCTOBER 5, 1998. CONTACT: PEGGY GERMINO 212 656-8450.

Reporting Source: Firm

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE

Sanction(s) Sought: Bar
Censure

Date Initiated: 07/20/1998

Docket/Case Number: 98-85

Employing firm when activity occurred which led to the regulatory action: SECURITIES AMERICA, INC.

Product Type: Other: OUTSIDE BUSINESS

Allegations: VIOLATION EXCHANGE RULE 346(B). ENGAGED IN AN OUTSIDE BUSINESS ACTIVITY WITHOUT PRIOR APPROVAL.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 10/01/1998

Sanctions Ordered: Bar (Temporary/Time Limited)
Censure

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	SUSPENSION OF BUSINESS
Duration:	SIX WEEKS
Start Date:	08/01/1998



End Date: 10/01/1998

Firm Statement AS STATED ABOVE, THIS IS A NON-SECURITY, NON-CLIENT RELATED INFRACTION. IT IS ADMINSITRATIVE INFRACTION, RESULTING FROM THE SALE OF A FIXED ANNUITY INSURANCE PRODUCT. IT IS IMPORTANT TO NOTE THAT NONE OF THE CLIENTS ASSOCIATED WITH THIS INVESTMENT HAVE EVER COMPLAINED. THIS ISSUE ORIGINATED SEVERAL YEARS AGO. I THOUGHT IT TO BE IN THE BEST INTEREST OF ALL PARTIES TO SEEK A FINAL RESOLUTION TO THIS MATTER AS QUICKLY AS POSSIBLE. AS A RESULT, I HAVE AGREED TO THE AFOREMENTIONED STIPULATION.

Reporting Source: Firm
Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE

Sanction(s) Sought:
Other Sanction(s) Sought:

Date Initiated: 07/20/1998
Docket/Case Number: 98-85

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

Product Type: Other
Other Product Type(s):

Allegations: VIOLATION EXCHANGE RULE 346(B). ENGAGED IN AN OUTSIDE BUSINESS ACTIVITY WITHOUT PRIOR APPROVAL.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 10/01/1998

Sanctions Ordered: Bar
Censure

Other Sanctions Ordered:

Sanction Details: IN ORDER TO PUT THIS MATTER BEHIND ME AND IN ATTEMPT TO MINIMIZE THE EFFECT ON CLIENT SERVICE, I WITHOUT ADMITTING OR DENYING ANY WRONG DOING, CHOSE TO VOLUNTARILY ACCEPT A SIX WEEK SUSPENSION OF MY BUSINESS

Firm Statement AS STATED ABOVE, THIS IS A NON-SECURITY, NON-CLIENT RELATED INFRACTION. IT IS ADMINSITRATIVE INFRACTION, RESULTING FROM THE SALE OF A FIXED ANNUITY INSURANCE PRODUCT. IT IS IMPORTANT TO NOTE THAT NONE OF THE CLIENTS ASSOCIATED WITH THIS INVESTMENT HAVE EVER COMPLAINED. THIS ISSUE ORIGINATED SEVERAL YEARS AGO. I THOUGHT IT TO BE IN THE BEST INTEREST OF ALL PARTIES TO SEEK A FINAL RESOLUTION TO THIS MATTER AS QUICKLY AS POSSIBLE. AS A RESULT, I HAVE AGREED TO THE AFOREMENTIONED STIPULATION.

Reporting Source: Individual



Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/20/1998

Docket/Case Number: 98-85

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

Product Type:

Other Product Type(s):

Allegations: VIOLATION EXCHANGE RULE 346(B). ENGAGED IN AN OUTSIDE BUSINESS ACTIVITY WITHOUT PRIOR APPROVAL

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 10/01/1998

Sanctions Ordered: Bar
Censure

Other Sanctions Ordered:

Sanction Details: IN ORDER TO PUT THIS MATTER BEHIND ME AND IN ATTEMPT TO MINIMIZE THE EFFECT ON CLIENT SERVICE, I WITHOUT ADMITTING OR DENYING ANY WRONG DOING, CHOSE TO VOLUNTARILY ACCEPT A SIX WEEK SUSPENSION OF MY BUSINESS

Broker Statement AS STATED ABOVE, THIS IS A NON-SECURITY, NON-CLIENT RELATED INFRACTION. IT IS ADMINISTRATIVE INFRACTION, RESULTING FROM THE SALE OF A FIXED ANNUITY INSURANCE PRODUCT. IT IS IMPORTANT TO NOTE THAT NONE OF THE CLIENTS ASSOCIATED WITH THIS INVESTMENT HAVE EVER COMPLAINED. THIS ISSUE ORIGINATED SEVERAL YEARS AGO. I THOUGHT IT TO BE IN THE BEST INTEREST OF ALL PARTIES TO SEEK A FINAL RESOLUTION TO THIS MATTER AS QUICKLY AS POSSIBLE. AS A RESULT, I HAVE AGREED TO THE AFOREMENTIONED STIPULATION.



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:	EDWARD D. JONES & CO., L.P.
Termination Type:	Discharged
Termination Date:	01/10/1997
Allegations:	- -SELLING FIXED ANNUITIES THAT ARE NOT APPROVED BY EDWARD JONES.
Product Type:	Other
Other Product Types:	FIXED ANNUITIES
Broker Statement	RESULT - TEMINATION OF EMPLOYMENT 1-10-97. NOT PROVIDED



End of Report

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