



## IAPD Report

# ROBERT ELTON MAXWELL III

CRD# 2011205

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6



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

### ROBERT ELTON MAXWELL III (CRD# 2011205)

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 **06/13/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RBC CAPITAL MARKETS, LLC	CRD# 31194	09/15/2006
<b>IA</b>	RBC CAPITAL MARKETS, LLC	CRD# 31194	09/15/2006

### QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **13** 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>	CITIGROUP GLOBAL MARKETS INC.	7059	HOUSTON, TX	04/17/1995 - 09/26/2006
<b>IA</b>	CITIGROUP GLOBAL MARKETS INC.	7059	HOUSTON, TX	04/17/1995 - 09/26/2006
<b>B</b>	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD	05/28/1991 - 04/20/1995

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 **13** 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>B</b>	BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
<b>B</b>	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b>	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b>	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b>	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b>	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b>	Cboe Exchange, Inc.	General Securities Representative	Approved	09/15/2006
<b>B</b>	FINRA	General Securities Representative	Approved	09/15/2006
<b>B</b>	Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
<b>B</b>	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
<b>B</b>	MEMX LLC	General Securities Representative	Approved	11/01/2020
<b>B</b>	MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
<b>B</b>	NYSE American LLC	General Securities Representative	Approved	09/15/2006



## Qualifications

	Regulator	Registration	Status	Date
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/15/2006
B	NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B	Nasdaq BX, Inc.	General Securities Representative	Approved	01/13/2009
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	03/01/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/01/2008
B	Nasdaq Stock Market	General Securities Representative	Approved	09/15/2006
B	New York Stock Exchange	General Securities Representative	Approved	09/15/2006
B	Arkansas	Agent	Approved	12/12/2007
B	California	Agent	Approved	09/15/2006
B	Colorado	Agent	Approved	03/28/2018
B	Delaware	Agent	Approved	07/19/2021
B	Georgia	Agent	Approved	07/31/2019
B	Iowa	Agent	Approved	09/15/2006
B	Louisiana	Agent	Approved	03/21/2011
B	Maine	Agent	Approved	08/19/2021
B	New York	Agent	Approved	11/13/2023
B	North Carolina	Agent	Approved	12/01/2006



## Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	07/26/2023
B	Texas	Agent	Approved	09/15/2006
IA	Texas	Investment Adviser Representative	Approved	09/15/2006
B	Wisconsin	Agent	Approved	03/08/2019

## Branch Office Locations

**RBC CAPITAL MARKETS, LLC**  
750 TOWN AND COUNTRY BLVD  
SUITE 325  
HOUSTON, TX 77024-4576

**RBC CAPITAL MARKETS, LLC**  
Houston, TX



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

#### Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	01/20/1990

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	03/10/2011
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	02/02/1990



### 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	04/17/1995 - 09/26/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	HOUSTON, TX
IA	04/17/1995 - 09/26/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	HOUSTON, TX
B	05/28/1991 - 04/20/1995	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	01/24/1990 - 06/07/1991	THE PRINCIPAL/EPPLER, GUERIN & TURNER, INC.	CRD# 260	DALLAS, TX

### 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
10/2019 - Present	City National Bank	Employee of an affiliate	Y	Houston, TX, United States
03/2008 - Present	RBC CAPITAL MARKETS CORPORATION	FINANCIAL CONSULTANT	Y	HOUSTON, TX, 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.

HEDWIG VILLAGE PENSION ADVISORY BOARD, CITY OF HEDWIG VILLAGE, TEXAS. INVESTMENT RELATED, ADVISE COUNCIL ON PENSION OPTIONS FOR CITY EMPLOYEES, BOARD MEMBER, 01/01/02, 4-8 PER MONTH, 4-8, ADVISE COUNCIL ON PENSION OPTIONS FOR CITY EMPLOYEES. SUGGESTED HEDWIG VILLAGE HIRE TX MUNICIPAL RET SYSTEM (TRMS) TO HANDLE EMPLOYEES PENSION. TRMS IS A STATE RUN SYSTEM. I MADE AND MAKE NO SUGGESTIONS AS TO INVESTMENTS. HV HIRED TRMS.





## End of Report

This page is intentionally left blank.