



IAPD Report

MARTIN JOSEPH HARE

CRD# 2194612

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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

MARTIN JOSEPH HARE (CRD# 2194612)

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 **02/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	11/30/2017
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	11/30/2017

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **26** 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	OAKBROOK, IL	12/15/2010 - 12/11/2017
IA	UBS FINANCIAL SERVICES INC.	8174	OAKBROOK, IL	12/15/2010 - 12/11/2017
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	LA JOLLA, CA	10/08/2004 - 12/16/2010

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
Customer Dispute	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 **26** 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 Representative	Approved	11/30/2017
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	11/30/2017
B FINRA	General Securities Representative	Approved	11/30/2017
B Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B MEMX LLC	General Securities Representative	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/01/2020
B NYSE American LLC	General Securities Representative	Approved	11/30/2017



Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	General Securities Representative	Approved	11/30/2017
B NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/30/2017
B Nasdaq PHLX LLC	General Securities Representative	Approved	11/30/2017
B Nasdaq Stock Market	General Securities Representative	Approved	11/30/2017
B Nasdaq Texas, LLC	General Securities Representative	Approved	11/30/2017
B New York Stock Exchange	General Securities Representative	Approved	11/30/2017
B Alaska	Agent	Approved	11/30/2017
B Arizona	Agent	Approved	11/30/2017
B California	Agent	Approved	11/30/2017
B Colorado	Agent	Approved	11/30/2017
B Florida	Agent	Approved	12/01/2017
IA Florida	Investment Adviser Representative	Approved	12/22/2023
B Georgia	Agent	Approved	01/06/2026
B Illinois	Agent	Approved	12/01/2017
IA Illinois	Investment Adviser Representative	Approved	12/01/2017
B Indiana	Agent	Approved	12/11/2017



Qualifications

Regulator	Registration	Status	Date
B Iowa	Agent	Approved	03/15/2024
B Maryland	Agent	Approved	11/30/2017
B Massachusetts	Agent	Approved	12/05/2017
B Michigan	Agent	Approved	11/30/2017
B Minnesota	Agent	Approved	12/01/2017
B Missouri	Agent	Approved	11/30/2017
B Nevada	Agent	Approved	11/30/2017
B New Jersey	Agent	Approved	11/30/2017
B New York	Agent	Approved	09/12/2021
B North Carolina	Agent	Approved	07/15/2021
B Ohio	Agent	Approved	07/30/2025
B Pennsylvania	Agent	Approved	11/30/2017
B South Carolina	Agent	Approved	11/30/2017
B Texas	Agent	Approved	11/30/2017
IA Texas	Investment Adviser Representative	Restricted Approval	11/30/2017
B Virginia	Agent	Approved	03/15/2024
B Washington	Agent	Approved	11/30/2017
B Wisconsin	Agent	Approved	11/30/2017



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	01/06/2025

Branch Office Locations

RBC CAPITAL MARKETS, LLC
TWO MID AMERICA PLAZA
SUITE 500 SOUTH
OAKBROOK TERRACE, IL 60181-4715

RBC CAPITAL MARKETS, LLC
Bonita Springs, FL

RBC CAPITAL MARKETS, LLC
Hinsdale, IL



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



Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	05/16/2008
 General Securities Representative Examination (S7)	Series 7	12/19/1991

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	02/03/2005
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/23/1991

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	12/15/2010 - 12/11/2017	UBS FINANCIAL SERVICES INC.	CRD# 8174	OAKBROOK, IL
IA	12/15/2010 - 12/11/2017	UBS FINANCIAL SERVICES INC.	CRD# 8174	OAKBROOK, IL
B	10/08/2004 - 12/16/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	LA JOLLA, CA
IA	10/08/2004 - 12/16/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	LA JOLLA, CA
IA	05/14/2003 - 10/12/2004	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SEQUIM, WA
B	05/20/2002 - 10/12/2004	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA
IA	10/06/1999 - 06/12/2002	UBS PAINWEBBER INC.	CRD# 8174	LA JOLLA, CA
B	07/23/1999 - 06/12/2002	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	06/12/1996 - 07/23/1999	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	07/20/1995 - 06/21/1996	MESIROW FINANCIAL, INC.	CRD# 2764	CHICAGO, IL
B	11/30/1993 - 07/19/1995	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	09/04/1992 - 12/15/1993	MESIROW FINANCIAL, INC.	CRD# 2764	CHICAGO, IL
B	12/20/1991 - 09/09/1992	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE

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
11/2017 - Present	RBC Capital Markets LLC	Registered Representative	Y	Oakbrook Terrace, IL, United States
12/2010 - 11/2017	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	SAN DIEGO, CA, United States



Registration & Employment History

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.

(1) YORK TOWNSHIP REPUBLICAN COMMITTEEMAN ORGANIZATION; ADDRESS: 662 SOUTH FERN CT., ELMHURST, IL 60126; NOT INVESTMENT RELATED; BUSINESS DESCRIPTION: POLITICAL ACTION COMMITTEE; CAPACITY: ELECTED OFFICIAL (BOTH NON-POLITICAL AND POLITICAL OFFICE; START DATE: 10/8/2018; DUTIES: HANDLE GETTING OUT THE VOTE FOR THE REPUBLICAN PARTY IN MY RESPECTIVE DISTRICT; HOURS DEVOTED PER MONTH: 2; HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0.

(2) LIZZADRO MUSEUM OF LAPIDARY ART; ADDRESS: 220 SOUTH COTTAGE HILL AVE, ELMHURST, IL 60126; NOT INVESTMENT RELATED; BUSINESS DESCRIPTION: MUSEUM; CAPACITY: BOARD OF DIRECTORS; START DATE: 11/15/2018; DUTIES: ADVISORY CAPACITY; HOURS DEVOTED PER MONTH: 1; HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0.

(3) Name: Ace Northshore Homecare Inc. dba: Homewatch Caregivers
Address: 900 Skokie Blvd Suite 126 Northbrook, IL 60062
Business Description: In home care
Business is not investment related
Projected Start Date: 11/25/20
Capacity: Owner - Active, Partner
Duties Performed: 50% partner. Company is Manager and Employee run. Will monitor incoming income to expense reports.
Devoted to this OBA per Month: 4-6 hours per week
Hours Devoted to this OBA during business hours: 0

(4) NAME OF ENTITY: Markur Corporation;
ADDRESS: 5 Kimberly Circle, Oak Brook IL;
NOT INVESTMENT RELATED;
BUSINESS DESCRIPTION: Holding Corporation for 401k ROBS plan to purchase Ace North Shore Home Healthcare;
CAPACITY: Partner;
START DATE: 02/05/2021;
DUTIES: Oversee and direct management to grow and operate business;
HOURS DEVOTED PER MONTH: 10;
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: None;

5) NAME OF ENTITY: Grand Aqua LLC
ADDRESS: 24820 Lakemone Cove Lane #201, Bonita Springs, FL 34134
INVESTMENT/NOT INVESTMENT RELATED: No
BUSINESS DESCRIPTION: Small Private
START DATE: 12.24.24
CAPACITY: Owner
DUTIES: LLC Holding company for personal assets. Will be paying personal expenses from this entity.
HOURS DEVOTED PER MONTH: 1
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

6) NAME OF ENTITY: Madison Core LLC
ADDRESS: 5712 Fox Gate Lane, Hinsdale, IL 60521
INVESTMENT/NOT INVESTMENT RELATED: No
BUSINESS DESCRIPTION: Small Private



Registration & Employment History



OTHER BUSINESS ACTIVITIES

START DATE: 12.23.24
CAPACITY: Sole Owner of LLC
DUTIES: LLC to hold home
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
Customer Dispute	3

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS Financial Services, Inc.

Allegations: Time frame: January 2017 -2018

Allegations: Claimant alleges that his financial advisor misrepresented that he would not incur any tax liability in connection with the surrender of an annuity but after surrender incurred huge tax consequences. Claimant alleges damages, violations of Illinois securities laws, breach of fiduciary duty, negligence, failure to supervise, and violations of FINRA rules.

Product Type: Other: Annuity

Alleged Damages: \$153,749.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 18-04106

Filing date of arbitration/CFTC reparation or civil litigation: 12/03/2018



Customer Complaint Information

Date Complaint Received: 12/03/2018
Complaint Pending? No
Status: Settled
Status Date: 06/06/2019
Settlement Amount: \$70,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES, INC.

Allegations: Time Frame: January 27, 2017 to March 16, 2018 Allegations: Authorized CPA alleges the recommendation to surrender the annuity was unsuitable and further states his client was told that the surrender would not trigger any taxes, which was not true.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): ESTIMATED TO BE IN EXCESS OF \$5,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 18-04106

Filing date of arbitration/CFTC reparation or civil litigation: 12/03/2018

Customer Complaint Information

Date Complaint Received: 12/21/2018
Complaint Pending? No
Status: Settled
Status Date: 06/06/2019
Settlement Amount: \$70,000.00
Individual Contribution Amount: \$0.00

Broker Statement This was an inherited client. He was not comfortable with the annual expenses that his annuity was charging and independently decided to surrender it. The



annuity was out of its surrender charge schedule but we anticipated a sizeable tax liability. I advised that he speak with his accountant to discuss the tax implications of surrendering his annuity. He decided to move forward with the surrender after speaking to his accountant. To help offset the tax liability, I recommended a tax-exempt municipal bond portfolio with the expectation that the interest earned would allow the client to break even on the taxes paid within a few years.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMER ALLEGES UNSUITABLE INVESTMENT RECOMMENDATIONS.

Product Type: Mutual Fund

Alleged Damages: \$30,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/15/2010

Complaint Pending? No

Status: Denied

Status Date: 01/27/2010

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.

Allegations: CUSTOMER ALLEGED THAT BROKER MISREPRESENTED THE RISK OF INVESTMENTS IN CITICORP PREFERRED STOCK MADE 03/18/99 AND PHILADELPHIA AUTHORITY PREFERRED STOCK MADE 01/21/99.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$11,000.00

Customer Complaint Information

Date Complaint Received: 07/21/1999

Complaint Pending? No

Status: Settled



Status Date: 05/12/2000

Settlement Amount: \$6,500.00

Individual Contribution Amount: \$0.00

Firm Statement UPON REVIEW, THE FIRM DETERMINED THAT THE CLAIM LACKED MERIT AS AN ACCOMODATION AND TO AVOID THE COSTS AND UNCERTAINTIES OF ARBITRATION, THE FIRM SETTLED THE MATER.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.

Allegations: CLIENT ALLEGED THAT BROKER MISREPRESENTED THE RISK OF INVESTMENTS IN CITICORP PREFERRED STOCK MADE 03/18/1999 AND PHILADELPHIA AUTHORITY PREFERRED STOCK MADE 1/21/99.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$11,000.00

Customer Complaint Information

Date Complaint Received: 07/21/1999

Complaint Pending? No

Status: Settled

Status Date: 05/12/2000

Settlement Amount: \$6,500.00

Individual Contribution Amount: \$0.00

Broker Statement DEAN WITTER DETERMINED THAT THE CLAIM LACKED MERIT, BUT AS AN ACCOMODATION AND TO AVOID THE COSTS AND UNCERTAINTIES OF ARBITRATION, THE FIRM SETTLED THE MATTER.



End of Report

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