



IAPD Report

VIVEK MAHAJAN

CRD# 2417802

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 9
Disclosure Information	10



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

VIVEK MAHAJAN (CRD# 2417802)

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 **10/01/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	01/18/2019
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	09/01/2021

QUALIFICATIONS

This representative is currently registered in **28** SRO(s) and **20** 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	NEW YORK, NY	01/15/2010 - 01/28/2019
B	CITIGROUP GLOBAL MARKETS INC.	7059	BROOKLYN, NY	05/29/2007 - 01/27/2010
IA	CITIGROUP GLOBAL MARKETS INC.	7059	BROOKLYN, NY	05/29/2007 - 01/27/2010

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 **20** jurisdiction(s) and 28 SRO(s) through his or her employer(s).

Employment 1 of 1

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

Main Address: 270 PARK AVENUE
NEW YORK, NY 10017

Firm ID#: 79

	Regulator	Registration	Status	Date
	24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
	BOX Exchange LLC	General Securities Representative	Approved	01/18/2019
	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	01/18/2019
	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	01/18/2019
	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/18/2019
	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	01/18/2019
	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	01/18/2019
	Cboe Exchange, Inc.	General Securities Representative	Approved	01/18/2019
	FINRA	General Securities Representative	Approved	01/18/2019
	Investors' Exchange LLC	General Securities Representative	Approved	01/18/2019
	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
	MEMX LLC	General Securities Representative	Approved	02/16/2021
	MIAX Emerald, LLC	General Securities Representative	Approved	03/20/2019



Qualifications

Regulator	Registration	Status	Date
B MIAX PEARL, LLC	General Securities Representative	Approved	01/18/2019
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	01/18/2019
B NYSE American LLC	General Securities Representative	Approved	01/18/2019
B NYSE Arca, Inc.	General Securities Representative	Approved	01/18/2019
B NYSE National, Inc.	General Securities Representative	Approved	01/18/2019
B NYSE Texas, Inc.	General Securities Representative	Approved	01/18/2019
B Nasdaq GEMX, LLC	General Securities Representative	Approved	01/18/2019
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/18/2019
B Nasdaq MRX, LLC	General Securities Representative	Approved	01/18/2019
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/18/2019
B Nasdaq Stock Market	General Securities Representative	Approved	01/18/2019
B Nasdaq Texas, LLC	General Securities Representative	Approved	01/18/2019
B New York Stock Exchange	General Securities Representative	Approved	01/18/2019
B Texas Stock Exchange LLC	General Securities Representative	Approved	07/02/2026
B California	Agent	Approved	01/18/2019
B Colorado	Agent	Approved	01/25/2019
B Connecticut	Agent	Approved	09/08/2023



Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	02/07/2019
B	Florida	Agent	Approved	01/28/2019
IA	Florida	Investment Adviser Representative	Approved	09/01/2021
B	Georgia	Agent	Approved	01/24/2019
B	Hawaii	Agent	Approved	04/18/2019
B	Maryland	Agent	Approved	01/22/2019
B	Massachusetts	Agent	Approved	01/22/2019
B	Nevada	Agent	Approved	02/01/2019
B	New Hampshire	Agent	Approved	12/10/2021
B	New Jersey	Agent	Approved	01/23/2019
B	New York	Agent	Approved	01/23/2019
IA	New York	Investment Adviser Representative	Approved	09/03/2021
B	North Carolina	Agent	Approved	01/28/2019
B	Ohio	Agent	Approved	08/09/2024
B	Pennsylvania	Agent	Approved	04/09/2019
B	South Carolina	Agent	Approved	01/28/2019
B	Texas	Agent	Approved	01/23/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	09/02/2021



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	01/22/2019
B Wisconsin	Agent	Approved	01/23/2019

Branch Office Locations

J.P. MORGAN SECURITIES LLC
Jupiter, FL



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 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

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	06/22/1995

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	08/31/2021
IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/11/2004
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/10/1995



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](#).



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	01/15/2010 - 01/28/2019	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW YORK, NY
B	05/29/2007 - 01/27/2010	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	BROOKLYN, NY
IA	05/29/2007 - 01/27/2010	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	BROOKLYN, NY
IA	12/07/2004 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	BROOKLYN, NY
B	09/24/1996 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	BROOKLYN, NY
B	01/30/1996 - 09/18/1996	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	01/30/1996 - 09/18/1996	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	06/23/1995 - 12/08/1995	DICKINSON & CO.	CRD# 689	DES MOINES, IA

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
01/2019 - Present	JPMORGAN CHASE BANK, N.A.	FINANCIAL ADVISOR - MANAGING DIRECTOR	Y	NEW YORK, NY, United States
01/2019 - Present	JPMORGAN SECURITIES, LLC.	FINANCIAL ADVISOR - MANAGING DIRECTOR	Y	NEW YORK, NY, United States
02/2018 - Present	59 S. ELLIOT PL LLC	PARTIAL OWNER	Y	BROOKLYN, NY, United States
10/2014 - Present	115 FORT GREENE PLACE	OWNER	Y	BROOKLYN, NY, United States
01/2007 - Present	42 WILLOW PLACE LLC	PARTIAL OWNER	Y	BROOKLYN, NY, United States
01/2010 - 01/2019	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States



Registration & 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.

Entity Name: 388 clinton ave llc
Investment related: Y
Address: Brooklyn, NY
Nature of the other business: Real Estate
Position/Title/Relationship: Owner/Partner
Start Date: 03/01/2020
Approximate # of hours a month: 0-10
Approximate # of hours during securities trading hours: 0
Briefly describe your duties: member of llc own investment property

Entity Name: 215 clermont avenue, llc
Investment related: Y
Address: Brooklyn, NY
Nature of the other business: Real Estate
Position/Title/Relationship: Owner/Partner
Start Date: 03/01/2021
Approximate # of hours a month: 0-10
Approximate # of hours during securities trading hours: 0
Briefly describe your duties: member of llc owns rental property

Entity Name: 59 s. elliot pl llc
Investment related: Yes
Address: 59 Brooklyn, ny
Nature of the other business: real estate rental
Position/Title/Relationship: Partial Owner
Start Date: 01-Feb-2018
Approximate # of hours a month: 1
Approximate # of hours during securities trading hours: 0
Briefly describe your duties: partial owner of llc

Entity Name: 115 fort greene place
Investment related: Yes
Address: 115 Brooklyn, ny
Nature of the other business: real estate rental
Position/Title/Relationship: Owner
Start Date: 01-Oct-2014
Approximate # of hours a month: 1
Approximate # of hours during securities trading hours: 0
Briefly describe your duties: owner of llc

Entity Name: 42 willow place llc
Investment related: Yes
Address: 42 Brooklyn ny
Nature of the other business: Rental property
Position/Title/Relationship: Partial Owner



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Start Date: 01-Jan-2007

Approximate # of hours a month: 1

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: partial owner of llc

Effective 1/18/2019 I will be an employee of both JPMorgan Securities and JPMorgan Bank. JPMorgan Bank offers a broad range of products and services nationwide. As an employee of JPMorgan Bank I will be able to offer certain bank products and services, including deposit and credit products.



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:	CGMI
Allegations:	CLAIMANT ALLEGES UNSUITABILITY, MISREPRESENTATION AND NEGLIGENCE IN CONNECTION WITH THE PURCHASE OF PREFERRED STOCK ON OR ABOUT 5/30/2008.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$375,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-00587
Filing date of arbitration/CFTC reparation or civil litigation:	02/25/2013

Customer Complaint Information

Date Complaint Received:	03/07/2013
Complaint Pending?	No



Status: Settled
Status Date: 05/01/2014
Settlement Amount: \$100,000.00
Individual Contribution Amount: \$0.00
Firm Statement THIS MATTER WAS SETTLED FOR BUSINESS REASONS AND THERE WAS NO ADMISSION OR FINDING OF GUILT BY THE FIRM OR THE BROKER.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CGMI
Allegations: CLAIMANT ALLEGES UNSUITABILITY, MISREPRESENTATION AND NEGLIGENCE IN CONNECTION WITH THE PURCHASE OF PREFERRED STOCK ON OR ABOUT 5/30/2008.
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$375,000.00
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 13-00587
Filing date of arbitration/CFTC reparation or civil litigation: 02/25/2013

Customer Complaint Information

Date Complaint Received: 03/07/2013
Complaint Pending? No
Status: Settled
Status Date: 05/01/2014
Settlement Amount: \$100,000.00
Individual Contribution Amount: \$0.00
Broker Statement THIS MATTER WAS SETTLED FOR BUSINESS REASONS AND THERE WAS NO ADMISSION OR FINDING OF GUILT BY CITIGROUP OR THE BROKER.

Disclosure 2 of 3

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: EXECUTORS OF ESTATE CLAIM THAT THE INVESTMENT ADVICE RECEIVED FROM THE FA WAS INAPPROPRIATE AND UNSUITABLE FOR THE CLIENT - 6/6/2008.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$211,220.00

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: 12/22/2010

Complaint Pending? No

Status: Denied

Status Date: 01/28/2011

Settlement Amount:

Individual Contribution Amount:

Firm Statement CLAIM DENIED

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: EXECUTORS OF ESTATE CLAIM THAT THE INVESTMENT ADVICE RECEIVED FROM THE FA WAS INAPPROPRIATE AND UNSUITABLE FOR THE CLIENT - 6/6/2008.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$211,220.00

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: 12/22/2010

Complaint Pending? No

Status: Denied

Status Date: 01/28/2011

Settlement Amount:



**Individual Contribution
Amount:**

Broker Statement CLAIM DENIED.

Disclosure 3 of 3

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** CITICORP INVESTMENT SERVICES

Allegations: CLIENT ALLEGES THAT HE WAS MISLEAD [SIC] BY (HIS FINANCIAL EXECUTIVE) TO BRING IN CASH" TO MEET IN A MUTUAL FUND, WHICH WAS NEVER FUNDED.

Product Type: Mutual Fund(s)

Alleged Damages: \$140,000.00

Customer Complaint Information

Date Complaint Received: 01/30/2006

Complaint Pending? No

Status: Denied

Status Date: 07/31/2007

Settlement Amount:

**Individual Contribution
Amount:**



End of Report

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