



IAPD Report

ANTHONY CHRISTIAN CONNOR

CRD# 2481513

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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

ANTHONY CHRISTIAN CONNOR (CRD# 2481513)

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 **10/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	05/22/2020
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	05/22/2020

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **51** 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	WASHINGTON, DC	01/13/2012 - 06/02/2020
IA	UBS FINANCIAL SERVICES INC.	8174	WASHINGTON, DC	01/13/2012 - 06/02/2020
B	MORGAN STANLEY SMITH BARNEY	149777	WASHINGTON, DC	06/01/2009 - 01/30/2012

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	2



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 **51** 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	05/22/2020
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	05/22/2020
B	FINRA	General Securities Representative	Approved	05/22/2020
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	11/01/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B	NYSE American LLC	General Securities Representative	Approved	05/22/2020



Qualifications

	Regulator	Registration	Status	Date
B	NYSE Arca, Inc.	General Securities Representative	Approved	05/22/2020
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	05/22/2020
B	Nasdaq PHLX LLC	General Securities Representative	Approved	05/22/2020
B	Nasdaq Stock Market	General Securities Representative	Approved	05/22/2020
B	Nasdaq Texas, LLC	General Securities Representative	Approved	05/22/2020
B	New York Stock Exchange	General Securities Representative	Approved	05/22/2020
B	Alabama	Agent	Approved	08/18/2021
B	Alaska	Agent	Approved	05/22/2020
B	Arizona	Agent	Approved	05/22/2020
B	Arkansas	Agent	Approved	10/29/2025
B	California	Agent	Approved	05/22/2020
B	Colorado	Agent	Approved	05/22/2020
B	Connecticut	Agent	Approved	05/22/2020
B	Delaware	Agent	Approved	06/08/2020
B	District of Columbia	Agent	Approved	05/22/2020
IA	District of Columbia	Investment Adviser Representative	Approved	06/03/2020



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	05/22/2020
B Georgia	Agent	Approved	05/22/2020
B Hawaii	Agent	Approved	05/22/2020
B Idaho	Agent	Approved	05/22/2020
B Illinois	Agent	Approved	05/22/2020
B Indiana	Agent	Approved	03/09/2024
B Iowa	Agent	Approved	03/20/2025
B Kansas	Agent	Approved	03/08/2024
B Kentucky	Agent	Approved	05/22/2020
B Louisiana	Agent	Approved	11/01/2022
B Maine	Agent	Approved	05/22/2020
B Maryland	Agent	Approved	05/22/2020
B Massachusetts	Agent	Approved	05/22/2020
B Michigan	Agent	Approved	05/22/2020
B Minnesota	Agent	Approved	06/13/2024
B Mississippi	Agent	Approved	11/08/2024
B Missouri	Agent	Approved	09/18/2024
B Montana	Agent	Approved	05/22/2020
B Nebraska	Agent	Approved	03/11/2024



Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	06/11/2020
B	New Hampshire	Agent	Approved	03/12/2024
B	New Jersey	Agent	Approved	05/22/2020
B	New Mexico	Agent	Approved	05/22/2020
B	New York	Agent	Approved	05/22/2020
B	North Carolina	Agent	Approved	05/22/2020
B	North Dakota	Agent	Approved	11/06/2025
B	Ohio	Agent	Approved	05/22/2020
B	Oklahoma	Agent	Approved	03/12/2024
B	Oregon	Agent	Approved	05/22/2020
B	Pennsylvania	Agent	Approved	05/22/2020
B	Rhode Island	Agent	Approved	11/04/2022
B	South Carolina	Agent	Approved	07/02/2020
B	South Dakota	Agent	Approved	10/29/2025
B	Tennessee	Agent	Approved	05/22/2020
B	Texas	Agent	Approved	05/22/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	05/22/2020
B	Utah	Agent	Approved	10/30/2025



Qualifications

	Regulator	Registration	Status	Date
B	Vermont	Agent	Approved	02/10/2021
B	Virginia	Agent	Approved	05/22/2020
IA	Virginia	Investment Adviser Representative	Approved	05/26/2020
B	Washington	Agent	Approved	05/22/2020
B	West Virginia	Agent	Approved	10/31/2022
B	Wisconsin	Agent	Approved	05/22/2020
B	Wyoming	Agent	Approved	10/29/2025

Branch Office Locations

RBC CAPITAL MARKETS, LLC
8010 Towers Crescent Drive
4th Floor
Vienna, VA 22182

RBC CAPITAL MARKETS, LLC
WASHINGTON, DC



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	05/13/1994
	General Securities Representative Examination (S7)	Series 7	04/20/1994

State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	10/05/1994
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/06/1994

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	01/13/2012 - 06/02/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	WASHINGTON, DC
IA	01/13/2012 - 06/02/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	WASHINGTON, DC
B	06/01/2009 - 01/30/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	WASHINGTON, DC
IA	06/01/2009 - 01/30/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	WASHINGTON, DC
B	02/23/2007 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WASHINGTON, DC
IA	02/23/2007 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WASHINGTON, DC
IA	01/03/2003 - 03/05/2007	FAHNESTOCK ASSET MANAGEMENT	CRD# 249	WASHINGTON, DC
B	01/03/2003 - 03/05/2007	OPPENHEIMER & CO. INC.	CRD# 249	WASHINGTON, DC
IA	03/08/1999 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	WASHINGTON, DC
B	11/12/1998 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	04/23/1994 - 11/06/1998	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
09/2020 - Present	CITY NATIONAL BANK	EMPLOYEE OF AN AFFILIATE	Y	McLean, VA, United States
05/2020 - Present	RBC Capital Markets, LLC	Registered Representative	Y	McLean, VA, United States
01/2012 - 05/2020	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	WASHINGTON, DC, 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.

1) RIVER CLUB HOME OWNERS ASSOCIATION / SEA ISLAND GEORGIA 30561 / REAL ESTATE / APPROVE RENOVATIONS MAINTENANCE / MEMBER OF BOARD OF DIRECTORS / REVIEW RENOVATIONS / START DATE 01/03/2012.

2) RC 1208 LLC / RIVER CLUB 1208 SEA ISLAND, GA 30561 / PARTNERSHIP / REAL ESTATE / SUMMER RENTAL / PARTNER / APPROVE RENTAL CONTRACTS CLEAN AND MAINTENANCE / START DATE 01/03/2011.

3) GORUCK / 1717 STRAND STREET NEPTUNE BEACH, FLORIDA 32266 / COMPANY / OTHER RETAILER AND ACTION EVENTS / ACTION EVENTS AND RETAIL SALES OF ACTION GEAR / ADVISOR OR MEMBER OF AN ADVISORY COMMITTEE, IF THE ADVICE GIVEN WILL OR MAY INFLUENCE THE BOARD OR OTHER SENIOR MANAGEMENT OR SUPERVISORY BOARD OF THE ORGANIZATION IN QUESTION / ADVISE MANAGEMENT ON CORPORATE STRATEGY / START DATE 01/25/2013.

4) BLUE RIDGE MOTORWERKS LLC / 9308 Mike Garcia Drive Manassas, VA 20109 / OTHER / OTHER CAR RESTORATION AND RALLY PREP / CAR RESTORATION AND RALLY PREP / MEMBER OF A COMMITTEE WITH MANAGEMENT OR SUPERVISORY FUNCTIONS / ADVISE ON EQUIPMENT AND FINDING RARE PARTS / START DATE 7/30/2014

5) Name: River Club Home owners association

Address: 100 Sea island Dr Sea island GA 31531

Business Description: Home owners association

Business is not investment related

Projected Start Date: 05/29/20

Capacity: Board of Directors *

Duties Performed: approve purchasers of units resold, approve renovations advise on maintenance and renovation projects

Devoted to this OBA per Month: 1

Hours Devoted to this OBA during business hours: 0

6) Name: GORUCK

Address: 415 Pablo Ave N. Jacksonville, FL

Business Description: Manufacture ruck sacks apparel and footwear

Business is not investment related

Projected Start Date: 05/29/20

Capacity: Other

Duties Performed: two bi-annual meetings, advise on marketing and sales efforts

Devoted to this OBA per Month: 1 Hours

Hours Devoted to this OBA during business hours: 0

7) Name: RC 1208 LLC

Address: 1208 River Club Dr Sea Island, GA 31561

Business Description: Rental property

Business is not investment related

Projected Start Date: 05/29/20

Capacity: Partner

Duties Performed: maintenance projects and renter approval

Devoted to this OBA per Month: 1

Hours Devoted to this OBA during business hours: 0

8) Name: Blue Ridge Motorwerks

Address: 9308 Mike Garcia Dr. Manassas VA 20109

Business Description: Auto restoration and rally preparation

Business is not investment related

Projected Start Date: 05/29/20

Capacity: Owner - Active

Duties Performed:

Devoted to this OBA per Month: 0



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Hours Devoted to this OBA during business hours: 0

9)Name: Lombardi Cancer research Gala

Non-Investment related

ADDRESS: Lombardi cancer center 3800 Reservoir Road NW Washington, DC 20007

Nature of Business: Cancer fund raising

Position: Fund raising

Start Date: 03/09/22

Hours devoted: 1 hour

Duties: ask corporations for donations



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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CIBC WORLD MARKETS CORP.
Allegations:	THE CLIENT ALLEGES THAT HIS BROKER OMITTED TO INFORM HIM OF MATERIAL FACTS ABOUT AN INVESTMENT IN A PARTICULAR SECURITY. CLAIMANT'S ALLEGED DAMAGES OF \$250,000.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$250,000.00

Customer Complaint Information

Date Complaint Received:	09/25/2003
Complaint Pending?	No
Status:	Denied
Status Date:	10/24/2003

Settlement Amount:

Individual Contribution Amount:

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CIBC WORLD MARKETS CORP.



Allegations: THE CLIENT ALLEGES THAT HIS BROKER OMITTED TO HIM OF MATERIAL FACTS ABOUT AN INVESTMENT IN A PARTICULAR SECURITY. ALLEGED DAMAGES OF \$250,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 09/25/2003

Complaint Pending? No

Status: Denied

Status Date: 10/24/2003

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: [CUSTOMER] AND HUSBAND [CUSTOMER] ALLEGES THAT MR. CONNOR FAILED TO LIQUIDATE THEIR ACCOUNT ON SEPTEMBER 4, 2001 AS INSTRUCTED. CUSTOMER ALLEGES DAMAGES OF \$21,330.28.

Product Type: Debt - Asset Backed

Alleged Damages: \$21,330.28

Customer Complaint Information

Date Complaint Received: 10/23/2001

Complaint Pending? No

Status: Settled

Status Date: 11/23/2001

Settlement Amount: \$21,330.28

Individual Contribution Amount: \$21,330.28

Broker Statement I AGREE THAT I FORGOT TO LIQUIDATE THIS ACCOUNT SEPTEMBER 4, 2001. I IMMEDIATELY BROUGHT THIS MISTAKE TO MANAGERMENTS ATTENTION AND HAVE BEEN CHARGED THE ENTIRE COST (\$21,330.28) OF THE ERROR.



End of Report

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