



IAPD Report

ERIN KRUIS SARDICH

CRD# 4022149

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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

ERIN KRUIS SARDICH (CRD# 4022149)

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 **03/31/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	10/01/2012
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	10/01/2012

QUALIFICATIONS

This representative is currently registered in **29** SRO(s) and **52** 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	CHASE INVESTMENT SERVICES CORP.	25574	AKRON, OH	10/31/2007 - 10/01/2012
B	CHASE INVESTMENT SERVICES CORP.	25574	AKRON, OH	07/06/2005 - 10/01/2012
B	BANC ONE SECURITIES CORPORATION	16999	CHICAGO, IL	09/07/2004 - 07/06/2005

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	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 **52** jurisdiction(s) and 29 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
B	24X National Exchange LLC	General Securities Principal	Approved	10/31/2025
B	24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B	BOX Exchange LLC	General Securities Principal	Approved	10/05/2012
B	BOX Exchange LLC	General Securities Representative	Approved	10/05/2012
B	BOX Exchange LLC	Registered Options Principal	Approved	10/05/2012
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	10/09/2012
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	11/07/2024
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/07/2024
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	11/07/2024
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/07/2024
B	Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	11/07/2024
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	10/05/2012
B	Cboe C2 Exchange, Inc.	Registered Options Principal	Approved	10/05/2012



Qualifications

Regulator	Registration	Status	Date
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	10/09/2012
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	08/02/2021
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	11/07/2024
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/07/2024
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	11/07/2024
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	11/07/2024
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/07/2024
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	11/07/2024
B Cboe EDGX Exchange, Inc.	Registered Options Principal	Approved	11/07/2024
B Cboe Exchange, Inc.	General Securities Representative	Approved	10/05/2012
B Cboe Exchange, Inc.	Registered Options Principal	Approved	10/05/2012
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	10/09/2012
B Cboe Exchange, Inc.	General Securities Principal	Approved	08/02/2021
B FINRA	General Securities Principal	Approved	10/01/2012
B FINRA	General Securities Representative	Approved	10/01/2012
B FINRA	Invest. Co and Variable Contracts	Approved	10/01/2012
B FINRA	Municipal Securities Principal	Approved	10/01/2012
B FINRA	Registered Options Principal	Approved	10/01/2012
B FINRA	General Securities Sales Supervisor	Approved	10/09/2012



Qualifications

	Regulator	Registration	Status	Date
B	FINRA	Municipal Securities Representative	Approved	07/08/2016
B	Investors' Exchange LLC	General Securities Representative	Approved	08/30/2016
B	Investors' Exchange LLC	General Securities Principal	Approved	08/31/2016
B	Investors' Exchange LLC	General Securities Sales Supervisor	Approved	09/26/2026
B	Investors' Exchange LLC	Registered Options Principal	Approved	09/26/2026
B	Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	04/27/2020
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B	MEMX LLC	General Securities Principal	Approved	02/16/2021
B	MEMX LLC	General Securities Representative	Approved	02/16/2021
B	MEMX LLC	General Securities Sales Supervisor	Approved	02/16/2021
B	MEMX LLC	Registered Options Principal	Approved	06/16/2023
B	MIAX Emerald, LLC	General Securities Principal	Approved	03/20/2019
B	MIAX Emerald, LLC	General Securities Representative	Approved	03/20/2019
B	MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	03/20/2019
B	MIAX Emerald, LLC	Registered Options Principal	Approved	03/20/2019
B	MIAX PEARL, LLC	General Securities Principal	Approved	11/07/2024
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/07/2024
B	MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/07/2024



Qualifications

	Regulator	Registration	Status	Date
B	MIAX PEARL, LLC	Registered Options Principal	Approved	11/07/2024
B	MIAX Sapphire	General Securities Principal	Approved	11/07/2024
B	MIAX Sapphire	General Securities Representative	Approved	11/07/2024
B	MIAX Sapphire	General Securities Sales Supervisor	Approved	11/07/2024
B	MIAX Sapphire	Registered Options Principal	Approved	11/07/2024
B	MX2 LLC	General Securities Principal	Approved	09/12/2026
B	MX2 LLC	General Securities Representative	Approved	09/12/2026
B	MX2 LLC	Registered Options Principal	Approved	09/12/2026
B	Miami International Securities Exchange, LLC	General Securities Principal	Approved	11/07/2024
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	11/07/2024
B	Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	11/07/2024
B	Miami International Securities Exchange, LLC	Registered Options Principal	Approved	11/07/2024
B	NYSE American LLC	General Securities Principal	Approved	10/05/2012
B	NYSE American LLC	General Securities Representative	Approved	10/05/2012
B	NYSE American LLC	Municipal Securities Principal	Approved	10/05/2012
B	NYSE American LLC	Registered Options Principal	Approved	10/05/2012
B	NYSE American LLC	Securities Manager	Approved	03/01/2013
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018



Qualifications

Regulator	Registration	Status	Date
B NYSE American LLC	Municipal Securities Representative	Approved	11/07/2024
B NYSE Arca, Inc.	General Securities Principal	Approved	10/05/2012
B NYSE Arca, Inc.	General Securities Representative	Approved	10/05/2012
B NYSE Arca, Inc.	Registered Options Principal	Approved	10/05/2012
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/09/2012
B NYSE National, Inc.	General Securities Principal	Approved	05/18/2018
B NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B NYSE National, Inc.	Municipal Securities Principal	Approved	05/18/2018
B NYSE National, Inc.	Municipal Securities Representative	Approved	05/18/2018
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	11/07/2024
B NYSE Texas, Inc.	General Securities Principal	Approved	10/05/2012
B NYSE Texas, Inc.	General Securities Representative	Approved	10/05/2012
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	03/01/2019
B Nasdaq GEMX, LLC	General Securities Principal	Approved	08/06/2013
B Nasdaq GEMX, LLC	General Securities Representative	Approved	08/06/2013
B Nasdaq GEMX, LLC	Registered Options Principal	Approved	08/06/2013
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq ISE, LLC	General Securities Principal	Approved	10/05/2012
B Nasdaq ISE, LLC	General Securities Representative	Approved	10/05/2012



Qualifications

Regulator	Registration	Status	Date
B Nasdaq ISE, LLC	Registered Options Principal	Approved	10/05/2012
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq MRX, LLC	General Securities Representative	Approved	03/24/2016
B Nasdaq MRX, LLC	General Securities Principal	Approved	04/01/2016
B Nasdaq MRX, LLC	Registered Options Principal	Approved	04/01/2016
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Principal	Approved	10/05/2012
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/05/2012
B Nasdaq PHLX LLC	Registered Options Principal	Approved	10/05/2012
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	10/09/2012
B Nasdaq Stock Market	General Securities Principal	Approved	10/05/2012
B Nasdaq Stock Market	General Securities Representative	Approved	10/05/2012
B Nasdaq Stock Market	Registered Options Principal	Approved	10/05/2012
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	10/09/2012
B Nasdaq Texas, LLC	General Securities Principal	Approved	10/05/2012
B Nasdaq Texas, LLC	General Securities Representative	Approved	10/05/2012
B Nasdaq Texas, LLC	Registered Options Principal	Approved	10/05/2012
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	10/09/2012



Qualifications

	Regulator	Registration	Status	Date
B	New York Stock Exchange	General Securities Principal	Approved	10/05/2012
B	New York Stock Exchange	General Securities Representative	Approved	10/05/2012
B	New York Stock Exchange	Municipal Securities Principal	Approved	10/05/2012
B	New York Stock Exchange	Securities Manager	Approved	03/01/2013
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	New York Stock Exchange	Municipal Securities Representative	Approved	11/07/2024
B	Texas Stock Exchange LLC	General Securities Principal	Approved	07/02/2026
B	Texas Stock Exchange LLC	General Securities Representative	Approved	07/02/2026
B	Alabama	Agent	Approved	10/01/2012
B	Alaska	Agent	Approved	10/01/2012
B	Arizona	Agent	Approved	10/01/2012
B	Arkansas	Agent	Approved	10/01/2012
B	California	Agent	Approved	10/01/2012
B	Colorado	Agent	Approved	10/01/2012
B	Connecticut	Agent	Approved	10/01/2012
B	Delaware	Agent	Approved	10/01/2012
B	District of Columbia	Agent	Approved	10/01/2012
B	Florida	Agent	Approved	10/01/2012
B	Georgia	Agent	Approved	10/01/2012



Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	10/01/2012
B	Idaho	Agent	Approved	10/01/2012
B	Illinois	Agent	Approved	10/01/2012
B	Indiana	Agent	Approved	10/01/2012
B	Iowa	Agent	Approved	10/01/2012
B	Kansas	Agent	Approved	10/01/2012
B	Kentucky	Agent	Approved	10/01/2012
B	Louisiana	Agent	Approved	10/01/2012
B	Maine	Agent	Approved	10/01/2012
B	Maryland	Agent	Approved	10/01/2012
B	Massachusetts	Agent	Approved	10/01/2012
B	Michigan	Agent	Approved	10/01/2012
B	Minnesota	Agent	Approved	10/01/2012
B	Mississippi	Agent	Approved	10/01/2012
B	Missouri	Agent	Approved	10/01/2012
B	Montana	Agent	Approved	10/01/2012
B	Nebraska	Agent	Approved	05/13/2013
B	Nevada	Agent	Approved	10/01/2012
B	New Hampshire	Agent	Approved	10/01/2012



Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	10/01/2012
B	New Mexico	Agent	Approved	10/01/2012
B	New York	Agent	Approved	10/01/2012
B	North Carolina	Agent	Approved	10/01/2012
B	North Dakota	Agent	Approved	10/01/2012
B	Ohio	Agent	Approved	10/01/2012
IA	Ohio	Investment Adviser Representative	Approved	10/01/2012
B	Oklahoma	Agent	Approved	10/01/2012
B	Oregon	Agent	Approved	10/01/2012
B	Pennsylvania	Agent	Approved	10/01/2012
B	Puerto Rico	Agent	Approved	10/01/2012
B	Rhode Island	Agent	Approved	10/01/2012
B	South Carolina	Agent	Approved	10/01/2012
B	South Dakota	Agent	Approved	10/01/2012
B	Tennessee	Agent	Approved	10/01/2012
B	Texas	Agent	Approved	10/01/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	06/11/2014
B	Utah	Agent	Approved	10/01/2012



Qualifications

Regulator	Registration	Status	Date
B Vermont	Agent	Approved	10/01/2012
B Virginia	Agent	Approved	10/01/2012
B Washington	Agent	Approved	10/01/2012
B West Virginia	Agent	Approved	10/01/2012
B Wisconsin	Agent	Approved	10/01/2012
B Wyoming	Agent	Approved	10/01/2012

Branch Office Locations

J.P. MORGAN SECURITIES LLC

30 N. Main Street
Poland, OH 44514

J.P. MORGAN SECURITIES LLC

50 S. MAIN STREET
AKRON, OH 44308

J.P. MORGAN SECURITIES LLC

2647 BAILEY ROAD
CUYAHOGA FALLS, OH 44221

J.P. MORGAN SECURITIES LLC

380 BOARDMAN-CANFIELD ROAD
BOARDMAN, OH 44512

J.P. MORGAN SECURITIES LLC

3191 CENTER ROAD. S.R. 303
BRUNSWICK, OH 44212

J.P. MORGAN SECURITIES LLC

30 N. MAIN STREET
POLAND, OH 44514

J.P. MORGAN SECURITIES LLC

3626 MEDINA ROAD
MEDINA, OH 44256

J.P. MORGAN SECURITIES LLC

4499 KENT ROAD
STOW, OH 44224

J.P. MORGAN SECURITIES LLC

136 WEST STREETSBORO ST
HUDSON, OH 44236

J.P. MORGAN SECURITIES LLC

5531 MAHONING AVENUE
YOUNGSTOWN, OH 44515

J.P. MORGAN SECURITIES LLC

250 WEST GARFIELD ROAD
AURORA, OH 44202

J.P. MORGAN SECURITIES LLC

3265 WEST MARKET STREET
AKRON, OH 44333

J.P. MORGAN SECURITIES LLC

43 W. LIBERTY STREET
GIRARD, OH 44420

J.P. MORGAN SECURITIES LLC

2435 N. CLEVE-MASSILLON ROAD
AKRON, OH 44333

J.P. MORGAN SECURITIES LLC

34 N. BROAD STREET
CANFIELD, OH 44406

J.P. MORGAN SECURITIES LLC

123 NORTH BROADWAY
SALEM, OH 44460

J.P. MORGAN SECURITIES LLC

850 North Court St
MEDINA, OH 44256

J.P. MORGAN SECURITIES LLC

9023 DARROW ROAD
TWINSBURG, OH 44087



Qualifications

J.P. MORGAN SECURITIES LLC
1805 BRITTAIN ROAD
AKRON, OH 44310

J.P. MORGAN SECURITIES LLC
1550 SOUTH WATER STREET
KENT, OH 44240

J.P. MORGAN SECURITIES LLC
4538 MAHONING AVENUE, N.W.
WARREN, OH 44483

J.P. MORGAN SECURITIES LLC
204 NILES-CORTLAND ROAD NE
WARREN, OH 44484

J.P. MORGAN SECURITIES LLC
7703 BROADVIEW ROAD
SEVEN HILLS, OH 44131

J.P. MORGAN SECURITIES LLC
532 W Market St
Akron, OH 44303

J.P. MORGAN SECURITIES LLC
275 Tallmadge Rd
Kent, OH 44240

J.P. MORGAN SECURITIES LLC
8261 Golden Link Blvd
Northfield, OH 44067

J.P. MORGAN SECURITIES LLC
5054 Everhard Rd NW
CANTON, OH 44718

J.P. MORGAN SECURITIES LLC
1401 30TH STREET N.W.
CANTON, OH 44709

J.P. MORGAN SECURITIES LLC
301 WEST THIRD STREET
DOVER, OH 44622

J.P. MORGAN SECURITIES LLC
11 LINCOLN WAY WEST
MASSILLON, OH 44647

J.P. MORGAN SECURITIES LLC
1353 CLAREMONT AVENUE
ASHLAND, OH 44805

J.P. MORGAN SECURITIES LLC
901 WEST MAPLE STREET
HARTVILLE, OH 44632

J.P. MORGAN SECURITIES LLC
750 HIGH STREET

J.P. MORGAN SECURITIES LLC
9163 STATE RTE 43
STREETSBORO, OH 44241

J.P. MORGAN SECURITIES LLC
235 WEST MAIN STREET
RAVENNA, OH 44266

J.P. MORGAN SECURITIES LLC
5555 YOUNGSTOWN WARREN RD
NILES, OH 44446

J.P. MORGAN SECURITIES LLC
15980 PEARL ROAD
STRONGSVILLE, OH 44136

J.P. MORGAN SECURITIES LLC
13955 State Rd
North Royalton, OH 44133

J.P. MORGAN SECURITIES LLC
7080 Aurora Rd
Aurora, OH 44202

J.P. MORGAN SECURITIES LLC
8889 Brecksville Rd
Brecksville, OH 44141

J.P. MORGAN SECURITIES LLC
44 E Federal St Unit 4
Youngstown, OH 44503

J.P. MORGAN SECURITIES LLC
444 E. ROBINSON AVENUE
BARBERTON, OH 44203

J.P. MORGAN SECURITIES LLC
1094 LEXINGTON AVENUE
MANSFIELD, OH 44907

J.P. MORGAN SECURITIES LLC
1207 WEST STATE STREET
ALLIANCE, OH 44601

J.P. MORGAN SECURITIES LLC
4040 TUSCARAWAS ST W
CANTON, OH 44708

J.P. MORGAN SECURITIES LLC
120 SOUTH FOURTH STREET
COSHOCOTON, OH 43812

J.P. MORGAN SECURITIES LLC
1331 PARK AVENUE WEST
MANSFIELD, OH 44906



Qualifications

WADSWORTH, OH 44281

J.P. MORGAN SECURITIES LLC
1615 S. ARLINGTON STREET
AKRON, OH 44306

J.P. MORGAN SECURITIES LLC
1721 Boettler Rd
Uniontown, OH 44685

J.P. MORGAN SECURITIES LLC
219 N. MAIN STREET
NORTH CANTON, OH 44720

J.P. MORGAN SECURITIES LLC
800 ASHLAND ROAD
MANSFIELD, OH 44905

J.P. MORGAN SECURITIES LLC
1249 CANTON ROAD
AKRON, OH 44312

J.P. MORGAN SECURITIES LLC
5638 MANCHESTER ROAD
AKRON, OH 44319

J.P. MORGAN SECURITIES LLC
123 W. MAIN STREET
LOUISVILLE, OH 44641

J.P. MORGAN SECURITIES LLC
141 EAST HIGH AVENUE
NEW PHILADELPHIA, OH 44663

J.P. MORGAN SECURITIES LLC
141 N. WALNUT STREET
WOOSTER, OH 44691

J.P. MORGAN SECURITIES LLC
335 N. SANDUSKY AVENUE
UPPER SANDUSKY, OH 43351



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 5 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
	Registered Options Principal Examination (S4)	Series 4	04/18/2012
	Municipal Securities Principal Examination (S53)	Series 53	12/29/2009
	General Securities Principal Examination (S24)	Series 24	12/10/2007

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	09/10/2004
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/20/1999

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	10/26/2007
	 Uniform Securities Agent State Law Examination (S63)	Series 63	03/31/2004



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
IA	10/31/2007 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	AKRON, OH
B	07/06/2005 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	AKRON, OH
B	09/07/2004 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL
B	09/22/1999 - 09/20/2004	PRUCO SECURITIES, LLC.	CRD# 5685	NEWARK, NJ

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
12/2013 - Present	JPMORGAN CHASE BANK, N.A.	WORKFORCE MEMBER	Y	Poland, OH, United States
10/2012 - Present	J.P. MORGAN SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	Poland, OH, United States
08/2010 - 09/2025	WWW.MOONEYFOOTBALL.COM	CONSULTANT/PHOTOGRAPHER	N	STOW, OH, 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.

Entity Name: Cardinal Mooney High School Booster Club

Investment related: No

"Address: 2545 Erie St.

Youngstown, OH 44507"

Nature of the other business: Nonprofit

Position/Title/Relationship: Board Member

Start Date: 02/18/2026

Approximate # of hours a week: 0-10

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: Treasurer of the Athletic Boosters for Cardinal Mooney High School. I am a signer on the association checking account for the purposes of depositing funds and paying invoices.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Entity Name: St. Christine All Sports Boosters

Investment related: Yes

"Address: Youngstown, OH 44511"

Nature of the other business: Nonprofit

Position/Title/Relationship: Board Member

Start Date: 05/15/2024

Approximate # of hours a week: 0-10

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: I will be the treasurer of our school's all sport's boosters club. The booster club supports the ongoing athletic development of the students in grades K-8 at St. Christine School.



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	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CHASE INVESTMENT SERVICES CORP.
Allegations:	CLIENT ALLEGES FAILURE TO SUPERVISE IN RELATION TO A MANAGED ACCOUNT INVESTMENT.
Product Type:	Other: MANAGED
Alleged Damages:	\$12,410.40
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:	06/11/2009
Complaint Pending?	No
Status:	Denied
Status Date:	08/13/2009
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00



End of Report

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