IAPD Report

Robert T. Waldbauer Jr.

CRD# 4465882

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

Robert T. Waldbauer Jr. (CRD# 4465882)

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 **03/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	08/10/2018
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	08/10/2018

QUALIFICATIONS

This representative is currently registered in **28** SRO(s) and **50** 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	STUART, FL	01/16/2009 - 08/21/2018
IA	UBS FINANCIAL SERVICES INC.	8174	STUART, FL	01/16/2009 - 08/21/2018
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	03/27/2003 - 01/20/2009

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
Regulatory Event	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 **50** 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
B	24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B	BOX Exchange LLC	General Securities Representative	Approved	08/10/2018
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	08/10/2018
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2024
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2024
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	08/10/2018
B	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	08/10/2018
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2024
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2024
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2024
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2024
B	Cboe Exchange, Inc.	General Securities Representative	Approved	08/10/2018
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	08/10/2018

Qualifications

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/10/2018
B	FINRA	General Securities Sales Supervisor	Approved	08/10/2018
B	Investors' Exchange LLC	General Securities Representative	Approved	08/10/2018
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B	MEMX LLC	General Securities Representative	Approved	02/16/2021
B	MEMX LLC	General Securities Sales Supervisor	Approved	02/16/2021
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 PEARL, LLC	General Securities Representative	Approved	11/18/2024
B	MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/18/2024
B	MIAX Sapphire	General Securities Representative	Approved	11/18/2024
B	MIAX Sapphire	General Securities Sales Supervisor	Approved	11/18/2024
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	11/18/2024
B	Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	11/18/2024
B	NYSE American LLC	General Securities Representative	Approved	08/10/2018
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	08/10/2018
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	08/10/2018

Qualifications

	Regulator	Registration	Status	Date
B	NYSE National, Inc.	General Securities Representative	Approved	08/10/2018
B	NYSE National, Inc.	General Securities Sales Supervisor	Approved	08/10/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	08/10/2018
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	03/01/2019
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	08/10/2018
B	Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq ISE, LLC	General Securities Representative	Approved	08/10/2018
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq MRX, LLC	General Securities Representative	Approved	08/10/2018
B	Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/10/2018
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	08/10/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	08/10/2018
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/18/2024
B	Nasdaq Texas, LLC	General Securities Representative	Approved	08/10/2018
B	Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	08/10/2018
B	New York Stock Exchange	General Securities Representative	Approved	08/10/2018
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Texas Stock Exchange LLC	General Securities Representative	Approved	07/02/2026

Qualifications

	Regulator	Registration	Status	Date
B	Alabama	Agent	Approved	08/10/2018
B	Alaska	Agent	Approved	08/10/2018
B	Arizona	Agent	Approved	08/10/2018
B	Arkansas	Agent	Approved	03/04/2026
B	California	Agent	Approved	08/10/2018
B	Colorado	Agent	Approved	08/10/2018
B	Connecticut	Agent	Approved	08/10/2018
B	Delaware	Agent	Approved	08/12/2020
B	District of Columbia	Agent	Approved	02/23/2026
B	Florida	Agent	Approved	08/10/2018
IA	Florida	Investment Adviser Representative	Approved	01/24/2020
B	Georgia	Agent	Approved	08/10/2018
B	Idaho	Agent	Approved	02/24/2026
B	Illinois	Agent	Approved	08/10/2018
B	Indiana	Agent	Approved	11/06/2024
B	Iowa	Agent	Approved	03/05/2026
B	Kansas	Agent	Approved	08/10/2018
B	Kentucky	Agent	Approved	02/26/2026
B	Louisiana	Agent	Approved	08/10/2018

Qualifications

	Regulator	Registration	Status	Date
B	Maine	Agent	Approved	09/23/2022
B	Maryland	Agent	Approved	08/10/2018
B	Massachusetts	Agent	Approved	08/10/2018
B	Michigan	Agent	Approved	08/10/2018
B	Minnesota	Agent	Approved	05/11/2021
B	Mississippi	Agent	Approved	02/26/2026
B	Montana	Agent	Approved	02/27/2026
B	Nevada	Agent	Approved	05/07/2024
B	New Hampshire	Agent	Approved	08/10/2018
B	New Jersey	Agent	Approved	08/10/2018
IA	New Jersey	Investment Adviser Representative	Approved	08/20/2018
B	New Mexico	Agent	Approved	08/10/2018
B	New York	Agent	Approved	08/10/2018
IA	New York	Investment Adviser Representative	Approved	04/20/2021
B	North Carolina	Agent	Approved	08/21/2018
B	North Dakota	Agent	Approved	03/02/2026
B	Ohio	Agent	Approved	08/10/2018
B	Oklahoma	Agent	Approved	02/23/2026
B	Oregon	Agent	Approved	08/10/2018

Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	08/10/2018
B	Puerto Rico	Agent	Approved	03/30/2026
B	Rhode Island	Agent	Approved	08/10/2018
B	South Carolina	Agent	Approved	08/10/2018
B	South Dakota	Agent	Approved	02/23/2026
B	Tennessee	Agent	Approved	11/14/2023
B	Texas	Agent	Approved	08/10/2018
IA	Texas	Investment Adviser Representative	Approved	08/10/2018
B	Utah	Agent	Approved	02/23/2026
B	Vermont	Agent	Approved	08/10/2018
B	Virgin Islands	Agent	Approved	02/24/2026
B	Virginia	Agent	Approved	08/10/2018
B	Washington	Agent	Approved	02/23/2026
B	West Virginia	Agent	Approved	02/23/2026
B	Wisconsin	Agent	Approved	01/03/2019
B	Wyoming	Agent	Approved	02/23/2026

Branch Office Locations

J.P. MORGAN SECURITIES LLC
3825 PGA BLVD
8TH AND 9TH FLOOR
PALM BEACH GARDENS, FL 33410

J.P. MORGAN SECURITIES LLC
Southampton, NY

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 2 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/27/2007
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/08/2007

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	12/06/2001

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/10/2002

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	01/16/2009 - 08/21/2018	UBS FINANCIAL SERVICES INC.	CRD# 8174	STUART, FL
IA	01/16/2009 - 08/21/2018	UBS FINANCIAL SERVICES INC.	CRD# 8174	STUART, FL
IA	03/27/2003 - 01/20/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	12/07/2001 - 01/20/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, 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
08/2018 - Present	JPMORGAN CHASE BANK, N.A.	FINANCIAL ADVISOR - MANAGING DIRECTOR	Y	NEW YORK, NY, United States
08/2018 - Present	JPMORGAN SECURITIES, LLC.	FINANCIAL ADVISOR - MANAGING DIRECTOR	Y	NEW YORK, NY, United States
01/2009 - 08/2018	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	NEW YORK, NY, 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.

Effective 8/10/2018 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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	01/24/2020
Docket/Case Number:	98465-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	J.P. Morgan Securities LLC
Product Type:	No Product
Allegations:	Conducted investment advisory business from a location within this state without the benefit of lawful registration.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/24/2020
Sanctions Ordered:	Cease and Desist

	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	01/24/2020
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	On 1/24/2020, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Robert T. Waldbauer. Mr. Waldbauer admits to the finding of the Office. The Office found that Robert T. Waldbauer engaged in investment advisory business from offices within this state without the benefit of lawful registration in the state of Florida, pursuant to section 517.12(4), F. S. Mr. Waldvauer agreed to cease and desist from all present and future violations of Chapter 517, F. S. and the administrative rules thereunder; and to pay an administrative fine in the amount of $7,500. The Office agreed to approve Robert T. Waldbauer's application as an associated person (RA) with J.P. Morgan Securities LLC effective 1/24/2020.

Reporting Source:	Individual
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	01/24/2020
Docket/Case Number:	98465-SR
Employing firm when activity occurred which led to the regulatory action:	J.P. Morgan Securities LLC
Product Type:	No Product
Allegations:	Conducted investment advisory business from a location within this state without the benefit of lawful registration.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	01/24/2020
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	01/24/2020
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Mr. Waldbauer was hired by J.P. Morgan Securities ("JPMS") in August 2018, and due to an administrative oversight by the JPM Registration department, the Firm neglected to file, on Mr. Waldbauer's behalf, an application for registration as an associated person of an investment adviser in the state of Florida. From on or about August 10, 2018 through September 2019, Mr. Waldbauer therefore unknowingly conducted had investment advisory business with clients in the state of Florida without being properly registered as an associated person of an investment adviser. Mr. Waldbauer has his Series 66 registration and no disclosures on his CRD record, so he was fully eligible for investment advisor representative status in Florida. The Firm has communicated with the state of Florida and acknowledged responsibility for failing to submit the required registration request on Mr. Waldbauer's behalf. Without admitting or denying the findings, Mr. Waldbauer agreed to settle the matter by consenting to an administrative fine of $7,500 which the Firm has agreed to fully reimburse.

End of Report

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