



IAPD Report

BARRY TUCKER

CRD# 450075

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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

BARRY TUCKER (CRD# 450075)

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 **09/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	06/11/2010
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	08/11/2021

QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **28** 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	01/26/1995 - 06/17/2010
B	OPPENHEIMER & CO., INC.	630	NEW YORK, NY	05/15/1970 - 01/18/1995

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
Customer Dispute	4



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 **28** jurisdiction(s) and 27 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	05/11/2012
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/01/2024
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/01/2024
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/06/2012
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/01/2024
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/01/2024
B Cboe Exchange, Inc.	General Securities Representative	Approved	06/11/2010
B FINRA	General Securities Representative	Approved	06/11/2010
B Investors' Exchange LLC	General Securities Representative	Approved	08/30/2016
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B MEMX LLC	General Securities Representative	Approved	02/16/2021
B MIAX Emerald, LLC	General Securities Representative	Approved	03/19/2019



Qualifications

Regulator	Registration	Status	Date
B MIAX PEARL, LLC	General Securities Representative	Approved	11/01/2024
B MIAX Sapphire	General Securities Representative	Approved	11/01/2024
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	11/01/2024
B NYSE American LLC	General Securities Representative	Approved	06/11/2010
B NYSE Arca, Inc.	General Securities Representative	Approved	03/16/2011
B NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B NYSE Texas, Inc.	General Securities Representative	Approved	01/06/2012
B Nasdaq GEMX, LLC	General Securities Representative	Approved	08/02/2013
B Nasdaq ISE, LLC	General Securities Representative	Approved	06/11/2010
B Nasdaq MRX, LLC	General Securities Representative	Approved	03/24/2016
B Nasdaq PHLX LLC	General Securities Representative	Approved	06/11/2010
B Nasdaq Stock Market	General Securities Representative	Approved	06/11/2010
B Nasdaq Texas, LLC	General Securities Representative	Approved	06/11/2010
B New York Stock Exchange	General Securities Representative	Approved	06/11/2010
B Arizona	Agent	Approved	10/07/2013
B Arkansas	Agent	Approved	03/25/2014
B California	Agent	Approved	06/15/2010
B Colorado	Agent	Approved	09/25/2013



Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	06/11/2010
B	Delaware	Agent	Approved	06/11/2010
B	District of Columbia	Agent	Approved	06/11/2010
B	Florida	Agent	Approved	06/11/2010
B	Georgia	Agent	Approved	06/23/2010
B	Illinois	Agent	Approved	06/11/2010
B	Maryland	Agent	Approved	06/11/2010
B	Massachusetts	Agent	Approved	06/15/2010
B	Minnesota	Agent	Approved	06/28/2010
B	Mississippi	Agent	Approved	06/20/2013
B	Nevada	Agent	Approved	10/03/2013
B	New Hampshire	Agent	Approved	06/11/2010
B	New Jersey	Agent	Approved	06/11/2010
B	New Mexico	Agent	Approved	06/29/2010
B	New York	Agent	Approved	06/11/2010
IA	New York	Investment Adviser Representative	Approved	08/11/2021
B	North Carolina	Agent	Approved	06/14/2010
B	Ohio	Agent	Approved	06/17/2010
B	Pennsylvania	Agent	Approved	06/15/2010



Qualifications

Regulator	Registration	Status	Date
B Rhode Island	Agent	Approved	09/04/2013
B Tennessee	Agent	Approved	06/10/2013
B Texas	Agent	Approved	07/06/2010
IA Texas	Investment Adviser Representative	Restricted Approval	11/09/2022
B Vermont	Agent	Approved	06/28/2010
B Virginia	Agent	Approved	06/11/2010
B Wisconsin	Agent	Approved	06/11/2010

Branch Office Locations

J.P. MORGAN SECURITIES LLC
277 PARK AVENUE
2ND & 3RD FLOOR
NEW YORK, NY 10172




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 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 Registered Principal Examination (S40)	Series 40	03/24/1969

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 AMEX Put and Call Exam (PC)	PC	05/19/1977
 Registered Representative Examination (S1)	Series 1	10/03/1961

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/17/2008

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/26/1995 - 06/17/2010	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW YORK, NY
B	05/15/1970 - 01/18/1995	OPPENHEIMER & CO., INC.	CRD# 630	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
07/2014 - Present	FILMS AROUND THE WORLD	PARTIAL OWNER	N	LONG ISLAND CITY, NY, United States
10/2010 - Present	JPMORGAN CHASE BANK, N.A.	Workforce Member	Y	NEW YORK, NY, United States
06/2010 - Present	J.P MORGAN SECURITIES INC.	Registered Representative	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.

Entity Name: Films Around the World
Investment related: No
Address: 44-02 Long Island City, NY
Nature of the other business: Independent Film distributor and video sales
Position/Title/Relationship: Partial Owner
Start Date: 22-Jul-2014
Approximate # of hours a month: 12
Approximate # of hours during securities trading hours: 8
Briefly describe your duties: Advisor

Entity Name: Metropolitan Opera
Investment related: No
Address: <http://www.metopera.org/metopera/broadcast/operainfo.aspx> 30 Lincoln Center Plaza, New York, NY 10023
Nature of the other business: Opera
Position/Title/Relationship: Other;
Start Date: 22-Jul-2014
Approximate # of hours a month: 10 hours per year
Approximate # of hours during securities trading hours: 10 hours per year
Briefly describe your duties: Other - Member of the board



Registration & Employment History



OTHER BUSINESS ACTIVITIES

1790 BROADWAY RTMF SUITE 715 10019 MUSIC GRANTS TO AMERICAN OPERA SINGERS, INVEST IN TREASURY, SELL STOCK/DERIVATIVE PRESIDENT : FEBRUARY 1975 2 HOURS/DAY VERY LITTLE OVERSEES EVERYTHING

Effective 6/15/2018 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
Customer Dispute	4

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: Individual

Regulatory Action Initiated By: NYSE, MINNIE LANDSMAN- LONDON AND DAN LANDSMAN

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 08/08/1966

Docket/Case Number: Unknown

Employing firm when activity occurred which led to the regulatory action: OPPENHEIMER

Product Type:

Other Product Type(s):

Allegations: THE MANNER IN WHICH I SERVICED THE JOINT ACCOUNT OF MRS. MINNIE LANDSMAN-LONDON AND DAN LANDSMAN AT OPPENHEIMER. THE EXCHANGE INITIATED ITS INVESTIGATION ON RECEIPT OF A NOTICE FROM THE FIRM WHICH INDICATED THAT I WAS SUBJECT TO DISCIPLINARY ACTION BY OPPENHEIMER FOR VIOLATION OF EXCHANGE RULES

Current Status: Final

Resolution: Decision

Resolution Date: 10/21/1966

Sanctions Ordered: Censure



Monetary/Fine \$300.00

Other Sanctions Ordered:

Sanction Details:

CENSURE AND FINE BY THE NYSE \$300.00

Broker Statement

Not Provided



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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.P. Morgan Securities LLC
Allegations:	The client alleges that their account value is showing a "big decline," notwithstanding their alleged goals of "slow, steady growth" with "no risk" and regular dividend payments. Activity dates March 23, 2018- July 30, 2018.
Product Type:	Other: Managed Wrap Account (Outside Money Manager)
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Firm has made a good faith determination alleged damages are greater than \$5,000.00.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/09/2018
Complaint Pending?	No
Status:	Denied
Status Date:	01/31/2019
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PAINWEBBER INC.
Allegations:	THE CLIENT ALLEGES THAT THE LOSS IN THE ACCOUNT WAS AS A RESULT OF UNAUTHORIZED TRADES. THE TIME PERIOD IS NOT SPECIFIED IN THE LETTER (CLIENT LATER VERBALLY ADVISED BRANCH THAT THE UNAUTHORIZED TRADES WERE PRIMARILY FROM AUGUST 99-MARCH 2000). DAMAGES ARE NOT SPECIFIED HOWEVER CLIENT STATES THAT THE \$129,000 LOSS IN THE ACCOUNT IS DUE LARGELY AS A RESULT OF UNAUTHORIZED TRADES THAT WERE MADE.



Product Type: Other
Other Product Type(s): PRODUCT UNSPECIFIED.

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/01/2000

Complaint Pending? No

Status: Denied

Status Date: 01/16/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE CLIENT'S CLAIM OF UNAUTHORIZED ACTIVITY IS BASELESS. BEFORE EXECUTING ANY OF THE TRANSACTIONS AT ISSUE, I FULLY DISCUSSED THEM WITH THE CLIENT, PARTICULARLY THE POTENTIAL RISKS AND MERITS. THE CLIENT PLACED A FIRM ORDER PRIOR TO EVERY TRADE. I INTEND TO VIGOROUSLY DEFEND MYSELF IN ORDER TO BE FULLY VINDICATED.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINWEBBER INCORPORATED

Allegations: CLIENTS, THROUGH THEIR ATTORNEY, CLAIM THEIR PAINWEBBER IE CHURNED THIER ACCOUNTS FROM 1/97 TO 7/97, TOLD CLIENTS ABOUT TRANSACTIONS AFTER THE FACT AND PERFORMED UNAUTHORIZED TRANSACTIONS. PRODUCTS AND DAMAGES UNSPECIFIED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/08/1997

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$65,000.00

Individual Contribution Amount:

Broker Statement

PAINWEBBER SETTLED THE MATTER FOR \$65,000. ALL TRADES IN THE CLIEEN'S ACCOUNTS WERE DISCUSSED AND AUTHORIZED BY EITHER [CUSTOMER] OR [SPOUSE] PRIOR TO MY ENTERING ORDERS ON THEIR BEHALF. FURTHER, ALL TRADES WERE CONSISTENT WITH THE [CUSTOMERS'] INVESTMENT OBJECTIVES. I ADAMANTLY DENY ANY WRONGDOING IN MY HANDLING OF THIS



ACCOUNT.

Disclosure 4 of 4

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO.
Allegations: LOSS IN THE ACCOUNT OF [CUSTOMER] IN THE AMOUNT OF \$82,969.57

Product Type:

Alleged Damages: \$82,969.57

Customer Complaint Information

Date Complaint Received: 08/27/1982

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$82,969.57

Individual Contribution Amount: \$82,969.57

Broker Statement I REIMBURSED [CUSTOMER] FOR THE ENTIRE AMOUNT OF \$82,969.57
NOT PROVIDED



End of Report

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