



IAPD Report

GARY ALLAN GROSSBLATT

CRD# 4810794

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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

GARY ALLAN GROSSBLATT (CRD# 4810794)

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 **11/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	11/14/2024
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	11/14/2024

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **27** 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	Bellevue, WA	09/20/2013 - 12/10/2024
IA	UBS FINANCIAL SERVICES INC.	8174	Bellevue, WA	09/20/2013 - 12/10/2024
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	BELLEVUE, WA	05/22/2008 - 09/23/2013

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?

No



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 **27** 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	11/14/2024
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	11/14/2024
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/14/2024
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/14/2024
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/14/2024
B	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	11/14/2024
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/14/2024
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	11/14/2024
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/14/2024
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	11/14/2024
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/14/2024
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	11/14/2024
B	FINRA	General Securities Representative	Approved	11/14/2024



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Sales Supervisor	Approved	11/14/2024
B Investors' Exchange LLC	General Securities Representative	Approved	11/14/2024
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/14/2024
B MEMX LLC	General Securities Representative	Approved	11/14/2024
B MEMX LLC	General Securities Sales Supervisor	Approved	11/14/2024
B MIAX PEARL, LLC	General Securities Representative	Approved	11/14/2024
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/14/2024
B NYSE American LLC	General Securities Representative	Approved	11/14/2024
B NYSE American LLC	General Securities Sales Supervisor	Approved	11/14/2024
B NYSE Arca, Inc.	General Securities Representative	Approved	11/14/2024
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	11/14/2024
B NYSE National, Inc.	General Securities Representative	Approved	11/14/2024
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	11/14/2024
B NYSE Texas, Inc.	General Securities Representative	Approved	11/14/2024
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/14/2024
B Nasdaq BX, Inc.	General Securities Representative	Approved	11/14/2024
B Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	11/14/2024
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/14/2024



Qualifications

Regulator	Registration	Status	Date
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	11/14/2024
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/14/2024
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	11/14/2024
B Nasdaq PHLX LLC	General Securities Representative	Approved	11/14/2024
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	11/14/2024
B Nasdaq Stock Market	General Securities Representative	Approved	11/14/2024
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/14/2024
B New York Stock Exchange	General Securities Representative	Approved	11/14/2024
B New York Stock Exchange	General Securities Sales Supervisor	Approved	11/14/2024
B Alaska	Agent	Approved	11/14/2024
B Arizona	Agent	Approved	11/14/2024
B California	Agent	Approved	11/14/2024
B Colorado	Agent	Approved	11/14/2024
B Connecticut	Agent	Approved	11/14/2024
B Florida	Agent	Approved	11/14/2024
B Hawaii	Agent	Approved	11/14/2024
B Idaho	Agent	Approved	11/14/2024
B Illinois	Agent	Approved	11/14/2024
B Indiana	Agent	Approved	11/14/2024



Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	11/14/2024
B	Louisiana	Agent	Approved	11/14/2024
B	Maryland	Agent	Approved	11/14/2024
B	Nevada	Agent	Approved	11/14/2024
B	New Jersey	Agent	Approved	11/14/2024
B	New York	Agent	Approved	11/14/2024
B	North Carolina	Agent	Approved	11/14/2024
B	Ohio	Agent	Approved	11/14/2024
B	Oregon	Agent	Approved	11/14/2024
B	Pennsylvania	Agent	Approved	11/14/2024
B	Tennessee	Agent	Approved	11/14/2024
B	Texas	Agent	Approved	11/14/2024
IA	Texas	Investment Adviser Representative	Approved	11/14/2024
B	Virgin Islands	Agent	Approved	11/14/2024
IA	Virgin Islands	Investment Adviser Representative	Approved	11/22/2024
B	Virginia	Agent	Approved	11/14/2024
B	Washington	Agent	Approved	11/14/2024
IA	Washington	Investment Adviser Representative	Approved	11/14/2024
B	Wisconsin	Agent	Approved	11/14/2024



Qualifications

Regulator	Registration	Status	Date
<div>B</div> Wyoming	Agent	Approved	11/14/2024

Branch Office Locations

RBC CAPITAL MARKETS, LLC
401 Union Street
SUITE 3600
SEATTLE, WA 98101

RBC CAPITAL MARKETS, LLC
Seattle, WA





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
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/20/2008
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/18/2008

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	08/12/2004

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	09/08/2004

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	09/20/2013 - 12/10/2024	UBS FINANCIAL SERVICES INC.	CRD# 8174	Bellevue, WA
IA	09/20/2013 - 12/10/2024	UBS FINANCIAL SERVICES INC.	CRD# 8174	Bellevue, WA
B	05/22/2008 - 09/23/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BELLEVUE, WA
IA	05/22/2008 - 09/23/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BELLEVUE, WA
IA	09/09/2004 - 06/09/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	BELLEVUE, WA
B	08/13/2004 - 06/09/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	BELLEVUE, WA

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
11/2024 - Present	RBC Capital Markets, LLC	Registered Representative	Y	Seattle, WA, United States
09/2013 - 11/2024	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	BELLEVUE, WA, 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.

1) Name of business: 5th Avenue Theatre./ Address: United States./ Nature: I'm on the corporate council supporting the 5th. They would like to run an ad in the Puget Sound business journal thanking their sponsors. They'd run my LinkedIn photo, name, and UBS./ Roles: Advisor or advisory group member if advice given may influence an officer/board./ Duty: Corporate Council member.

(2) NAME OF ENTITY: 1x2y LLC
ADDRESS: 2553 22nd Av E Seattle, WA 98112
INVESTMENT/NOT INVESTMENT RELATED: No
BUSINESS DESCRIPTION: Private Company
START DATE: Oct 13, 2024
CAPACITY: Sole Proprietor
DUTIES: Co-manager of the LLC with spouse
HOURS DEVOTED PER MONTH: 0 - 4 Hours



Registration & Employment History



OTHER BUSINESS ACTIVITIES

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0 - 4 Hours



End of Report

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