IAPD Report

ELIZAVETA MCCARTNEY

CRD# 5092303

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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

ELIZAVETA MCCARTNEY (CRD# 5092303)

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 **09/01/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	03/09/2006
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	03/29/2006

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **38** 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
No information reported.			

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

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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 **38** 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	05/11/2012
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	03/09/2006
B	FINRA	General Securities Representative	Approved	03/09/2006
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	05/16/2006

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Qualifications

	Regulator	Registration	Status	Date
B	NYSE Arca, Inc.	General Securities Representative	Approved	03/09/2006
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	03/01/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/01/2008
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Texas, LLC	General Securities Representative	Approved	01/13/2009
B	New York Stock Exchange	General Securities Representative	Approved	05/16/2006
B	Arizona	Agent	Approved	03/31/2015
B	Arkansas	Agent	Approved	12/08/2023
B	California	Agent	Approved	05/11/2006
B	Colorado	Agent	Approved	03/03/2023
B	Connecticut	Agent	Approved	05/11/2006
B	Delaware	Agent	Approved	12/19/2023
B	District of Columbia	Agent	Approved	08/26/2020
B	Florida	Agent	Approved	05/11/2006
IA	Florida	Investment Adviser Representative	Approved	05/16/2023
B	Georgia	Agent	Approved	08/31/2007

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Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	12/20/2023
B	Idaho	Agent	Approved	12/07/2023
B	Illinois	Agent	Approved	02/03/2015
B	Indiana	Agent	Approved	01/04/2024
B	Kentucky	Agent	Approved	01/05/2024
B	Louisiana	Agent	Approved	11/18/2014
B	Maine	Agent	Approved	12/05/2023
B	Maryland	Agent	Approved	08/31/2007
B	Massachusetts	Agent	Approved	02/23/2021
B	Michigan	Agent	Approved	10/04/2023
B	Mississippi	Agent	Approved	08/10/2023
B	Missouri	Agent	Approved	03/18/2024
B	Nevada	Agent	Approved	10/25/2013
B	New Hampshire	Agent	Approved	09/22/2010
B	New Jersey	Agent	Approved	03/09/2006
IA	New Jersey	Investment Adviser Representative	Approved	03/29/2006
B	New Mexico	Agent	Approved	12/05/2023
B	New York	Agent	Approved	05/11/2006
B	North Carolina	Agent	Approved	04/29/2009

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Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	12/18/2023
B	Oklahoma	Agent	Approved	05/29/2009
B	Oregon	Agent	Approved	01/02/2024
B	Pennsylvania	Agent	Approved	05/11/2006
B	South Carolina	Agent	Approved	03/16/2023
B	Tennessee	Agent	Approved	12/05/2023
B	Texas	Agent	Approved	06/25/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	02/19/2010
B	Utah	Agent	Approved	04/27/2009
B	Vermont	Agent	Approved	12/03/2013
B	Virginia	Agent	Approved	05/11/2006
B	Washington	Agent	Approved	09/22/2023

Branch Office Locations

RBC CAPITAL MARKETS, LLC
200 Park Avenue
2nd Floor
FLORHAM PARK, NJ 07932-1026

RBC CAPITAL MARKETS, LLC
Parkland, FL

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

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	03/08/2006

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	03/28/2006

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

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Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

No information reported.

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
11/2017 - Present	City National Bank	Employee of Affiliate	Y	Florham Park, NJ, United States
03/2008 - Present	RBC CAPITAL MARKETS, LLC	FINANCIAL ADVISOR	Y	FLORHAM PARK, NJ, 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.

No information reported.

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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.

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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:	05/16/2023
Docket/Case Number:	113634-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	RBC Capital Markets, LLC
Product Type:	No Product
Allegations:	Rendered investment advice, from a location within Florida, without being registered by the Office.
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:	05/16/2023
Sanctions Ordered:	Cease and Desist

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	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$19,500.00
Portion Levied against individual:	$19,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/16/2023
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	On May 16, 2023, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Elizaveta McCartney (McCartney). McCartney neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that McCartney violated Section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. McCartney agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of $19,500. The Office agreed to approve McCartney's application as an associated person (RA) with RBC Capital Markets, LLC effective May 16, 2023.

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:	05/16/2023
Docket/Case Number:	113634-SR
Employing firm when activity occurred which led to the regulatory action:	RBC Capital Markets, LLC
Product Type:	No Product
Allegations:	The Florida Office of Financial Regulation alleged that Ms. McCartney provided investment advice from a location in Florida without being properly registered as an investment advisor in the state. The Office and Ms. McCartney entered into a Stipulation and Consent Agreement whereby Ms. McCartney neither admitted nor denied the allegations but consented to entry of the Office's findings. As part of the agreement, the Office approved Ms. McCartney's investment advisor license application in the state.
Current Status:	Final
Resolution:	Order

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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:	05/16/2023
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:	$19,500.00
Portion Levied against individual:	$19,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/16/2023
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	I moved from New Jersey to Florida and decided to remain in the state once the COVID-19 pandemic began. However, I did not immediately obtain a Florida investment advisor license. Instead, I remained licensed in New Jersey. Once the issue came to my attention, I applied for an investment advisor license in Florida and obtained the license by entering into a stipulation and consent agreement with the state.

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End of Report

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