



IAPD Report

Brandon P. Moritz

CRD# 5907785

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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

Brandon P. Moritz (CRD# 5907785)

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 **07/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	05/04/2011
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	04/24/2024

QUALIFICATIONS

This representative is currently registered in **26** SRO(s) and **53** 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
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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?

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 **53** jurisdiction(s) and 26 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**

Main Address: 383 MADISON AVE
NEW YORK, NY 10179

Firm ID#: 79

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	09/01/2020
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	08/04/2020
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	08/04/2020
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/06/2012
B	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	09/01/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	08/04/2020
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	09/01/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	08/04/2020
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	09/01/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	05/04/2011
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	09/01/2020
B	FINRA	General Securities Representative	Approved	05/04/2011



Qualifications

	Regulator	Registration	Status	Date
B	FINRA	General Securities Sales Supervisor	Approved	09/01/2020
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	MEMX LLC	General Securities Sales Supervisor	Approved	02/16/2021
B	MIAX Emerald, LLC	General Securities Representative	Approved	03/19/2019
B	MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	09/01/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	08/04/2020
B	MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	09/01/2020
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B	MIAX Sapphire	General Securities Sales Supervisor	Approved	09/23/2024
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	08/04/2020
B	Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	09/01/2020
B	NYSE American LLC	General Securities Representative	Approved	05/04/2011
B	NYSE American LLC	General Securities Sales Supervisor	Approved	09/01/2020
B	NYSE Arca, Inc.	General Securities Representative	Approved	05/04/2011
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	09/01/2020
B	NYSE National, Inc.	General Securities Representative	Approved	05/18/2018



Qualifications

	Regulator	Registration	Status	Date
B	NYSE National, Inc.	General Securities Sales Supervisor	Approved	09/01/2020
B	NYSE Texas, Inc.	General Securities Representative	Approved	01/06/2012
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	09/01/2020
B	Nasdaq BX, Inc.	General Securities Representative	Approved	05/04/2011
B	Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	09/01/2020
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	08/02/2013
B	Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	09/01/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	05/04/2011
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	09/01/2020
B	Nasdaq MRX, LLC	General Securities Representative	Approved	03/24/2016
B	Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	09/01/2020
B	Nasdaq PHLX LLC	General Securities Representative	Approved	05/04/2011
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	09/01/2020
B	Nasdaq Stock Market	General Securities Representative	Approved	05/04/2011
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	09/01/2020
B	New York Stock Exchange	General Securities Representative	Approved	05/04/2011
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	09/01/2020
B	Alabama	Agent	Approved	06/01/2011
B	Alaska	Agent	Approved	06/01/2011



Qualifications

	Regulator	Registration	Status	Date
B	Arizona	Agent	Approved	06/01/2011
B	Arkansas	Agent	Approved	06/01/2011
B	California	Agent	Approved	06/01/2011
B	Colorado	Agent	Approved	06/01/2011
B	Connecticut	Agent	Approved	06/01/2011
B	Delaware	Agent	Approved	06/01/2011
B	District of Columbia	Agent	Approved	06/01/2011
B	Florida	Agent	Approved	06/01/2011
B	Georgia	Agent	Approved	06/01/2011
B	Hawaii	Agent	Approved	06/01/2011
B	Idaho	Agent	Approved	06/01/2011
B	Illinois	Agent	Approved	06/01/2011
B	Indiana	Agent	Approved	06/01/2011
B	Iowa	Agent	Approved	06/01/2011
B	Kansas	Agent	Approved	06/01/2011
B	Kentucky	Agent	Approved	06/01/2011
B	Louisiana	Agent	Approved	06/01/2011
B	Maine	Agent	Approved	06/01/2011
B	Maryland	Agent	Approved	06/01/2011



Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	06/01/2011
B	Michigan	Agent	Approved	06/01/2011
B	Minnesota	Agent	Approved	06/01/2011
B	Mississippi	Agent	Approved	06/01/2011
B	Missouri	Agent	Approved	06/01/2011
IA	Missouri	Investment Adviser Representative	Approved	04/24/2024
B	Montana	Agent	Approved	06/01/2011
B	Nebraska	Agent	Approved	06/01/2011
B	Nevada	Agent	Approved	06/01/2011
B	New Hampshire	Agent	Approved	06/01/2011
B	New Jersey	Agent	Approved	06/01/2011
B	New Mexico	Agent	Approved	06/01/2011
B	New York	Agent	Approved	06/01/2011
B	North Carolina	Agent	Approved	06/02/2011
B	North Dakota	Agent	Approved	06/01/2011
B	Ohio	Agent	Approved	06/02/2011
B	Oklahoma	Agent	Approved	06/01/2011
B	Oregon	Agent	Approved	06/01/2011
B	Pennsylvania	Agent	Approved	06/01/2011



Qualifications

Regulator	Registration	Status	Date
B Puerto Rico	Agent	Approved	06/01/2011
B Rhode Island	Agent	Approved	06/01/2011
B South Carolina	Agent	Approved	06/01/2011
B South Dakota	Agent	Approved	06/01/2011
B Tennessee	Agent	Approved	06/02/2011
B Texas	Agent	Approved	06/01/2011
IA Texas	Investment Adviser Representative	Approved	04/24/2024
B Utah	Agent	Approved	06/01/2011
B Vermont	Agent	Approved	06/01/2011
B Virgin Islands	Agent	Approved	06/01/2011
B Virginia	Agent	Approved	06/01/2011
B Washington	Agent	Approved	06/01/2011
B West Virginia	Agent	Approved	06/01/2011
B Wisconsin	Agent	Approved	06/01/2011
B Wyoming	Agent	Approved	06/01/2011

Branch Office Locations

J.P. MORGAN SECURITIES LLC

7700 Forsyth Blvd
Floor 12 Ste 1200
Clayton, MO 63105



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 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/01/2020
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	08/11/2020

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	05/03/2011

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/24/2024
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/31/2011



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:

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
03/2014 - Present	JPMorgan Chase Bank, NA.	WORKFORCE MEMBER	Y	Clayton, MD, United States
03/2011 - Present	J.P. Morgan Securities LLC	REGISTERED REPRESENTATIVE	Y	Clayton, MD, 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: Variety the Children's Charity

Investment related: Yes

"Address: <https://varietystl.org/> 11840 Westline Industrial Dr. Suite 220 | St. Louis, MO 63146 314.720.7700"

Nature of the other business: Charity Services

Position/Title/Relationship: Board Member

Start Date: 03/01/2022

Approximate # of hours a month: 0-10

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: Variety is a non-profit serving children with disabilities. I will be joining the Board of Directors, collectively responsible for strategy of the organization, and continuing my service on the Finance Committee. We oversee the investment portfolio and have outsourced its mgmt. No connection to JPMC

Entity Name: Variety the Children's Charity of St. Louis

Investment related: Yes

Address: 2200 St. Louis, MO Website: <http://www.varietystl.org/>

Nature of the other business: The mission of Variety is to serve children with physical and mental disabilities in the Greater St. Louis region.

Position/Title/Relationship: Other

Start Date: 10-Mar-2014

Approximate # of hours a month: 2-3 hours per quarter

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: Investment committee member



End of Report

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