



## IAPD Report

**Margaret F. Guffin**

CRD# 6669524

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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

### Margaret F. Guffin (CRD# 6669524)

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 **04/02/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	J.P. MORGAN SECURITIES LLC	CRD# 79	10/26/2023
<b>IA</b>	J.P. MORGAN SECURITIES LLC	CRD# 79	11/07/2023

### 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
<b>B</b>	GOLDMAN SACHS & CO. LLC	361	ATLANTA, GA	11/09/2021 - 09/23/2022

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>B</b>	BOX Exchange LLC	General Securities Representative	Approved	10/26/2023
<b>B</b>	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/26/2023
<b>B</b>	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/26/2023
<b>B</b>	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	10/26/2023
<b>B</b>	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/26/2023
<b>B</b>	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/26/2023
<b>B</b>	Cboe Exchange, Inc.	General Securities Representative	Approved	10/26/2023
<b>B</b>	FINRA	General Securities Representative	Approved	10/26/2023
<b>B</b>	Investors' Exchange LLC	General Securities Representative	Approved	10/26/2023
<b>B</b>	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	10/26/2023
<b>B</b>	MEMX LLC	General Securities Representative	Approved	10/26/2023
<b>B</b>	MIAX Emerald, LLC	General Securities Representative	Approved	10/26/2023
<b>B</b>	MIAX PEARL, LLC	General Securities Representative	Approved	10/26/2023



## Qualifications

	Regulator	Registration	Status	Date
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	10/26/2023
B	NYSE American LLC	General Securities Representative	Approved	10/26/2023
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/26/2023
B	NYSE National, Inc.	General Securities Representative	Approved	10/26/2023
B	NYSE Texas, Inc.	General Securities Representative	Approved	10/26/2023
B	Nasdaq BX, Inc.	General Securities Representative	Approved	10/26/2023
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	10/26/2023
B	Nasdaq ISE, LLC	General Securities Representative	Approved	10/26/2023
B	Nasdaq MRX, LLC	General Securities Representative	Approved	10/26/2023
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/26/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	10/26/2023
B	New York Stock Exchange	General Securities Representative	Approved	10/26/2023
B	Alabama	Agent	Approved	10/26/2023
B	Alaska	Agent	Approved	10/26/2023
B	Arizona	Agent	Approved	10/26/2023
B	Arkansas	Agent	Approved	10/26/2023
B	California	Agent	Approved	10/26/2023



## Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	10/26/2023
B	Connecticut	Agent	Approved	10/26/2023
B	Delaware	Agent	Approved	10/26/2023
B	District of Columbia	Agent	Approved	10/26/2023
B	Florida	Agent	Approved	10/26/2023
B	Georgia	Agent	Approved	10/26/2023
IA	Georgia	Investment Adviser Representative	Approved	11/09/2023
B	Hawaii	Agent	Approved	10/26/2023
B	Idaho	Agent	Approved	10/26/2023
B	Illinois	Agent	Approved	10/26/2023
B	Indiana	Agent	Approved	10/26/2023
B	Iowa	Agent	Approved	10/26/2023
B	Kansas	Agent	Approved	10/26/2023
B	Kentucky	Agent	Approved	10/26/2023
B	Louisiana	Agent	Approved	10/26/2023
B	Maine	Agent	Approved	10/26/2023
B	Maryland	Agent	Approved	10/26/2023
B	Massachusetts	Agent	Approved	10/26/2023
B	Michigan	Agent	Approved	10/26/2023



## Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	10/26/2023
B	Mississippi	Agent	Approved	10/26/2023
B	Missouri	Agent	Approved	10/26/2023
B	Montana	Agent	Approved	10/26/2023
B	Nebraska	Agent	Approved	10/26/2023
B	Nevada	Agent	Approved	10/26/2023
B	New Hampshire	Agent	Approved	10/26/2023
B	New Jersey	Agent	Approved	10/26/2023
B	New Mexico	Agent	Approved	10/26/2023
B	New York	Agent	Approved	10/26/2023
B	North Carolina	Agent	Approved	10/26/2023
B	North Dakota	Agent	Approved	10/26/2023
B	Ohio	Agent	Approved	10/27/2023
B	Oklahoma	Agent	Approved	10/26/2023
B	Oregon	Agent	Approved	10/26/2023
B	Pennsylvania	Agent	Approved	10/26/2023
B	Puerto Rico	Agent	Approved	10/26/2023
B	Rhode Island	Agent	Approved	10/26/2023
B	South Carolina	Agent	Approved	10/26/2023



## Qualifications

	Regulator	Registration	Status	Date
B	South Dakota	Agent	Approved	10/26/2023
B	Tennessee	Agent	Approved	10/26/2023
B	Texas	Agent	Approved	10/26/2023
IA	Texas	Investment Adviser Representative	Approved	11/07/2023
B	Utah	Agent	Approved	10/26/2023
B	Vermont	Agent	Approved	10/26/2023
B	Virgin Islands	Agent	Approved	10/26/2023
B	Virginia	Agent	Approved	10/26/2023
B	Washington	Agent	Approved	10/26/2023
B	West Virginia	Agent	Approved	10/26/2023
B	Wisconsin	Agent	Approved	10/26/2023
B	Wyoming	Agent	Approved	10/26/2023

## Branch Office Locations

### J.P. MORGAN SECURITIES LLC

3424 Peachtree Rd NE  
Floor 24  
Atlanta, GA 30326





## 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, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> National Commodity Futures Examination (S3)	Series 3	12/17/2021
<b>B</b> General Securities Representative Examination (S7TO)	Series 7TO	11/09/2021
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/22/2021

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	11/07/2023
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	11/18/2021



### 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>B</b>	11/09/2021 - 09/23/2022	GOLDMAN SACHS & CO. LLC	CRD# 361	ATLANTA, GA

### 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
10/2023 - Present	JPMorgan Chase Bank, NA	ASSOC ( Investment Specialist )	Y	Atlanta, GA, United States
10/2023 - Present	JPMorgan Securities LLC	ASSOC ( Investment Specialist )	Y	Atlanta, GA, United States
08/2022 - 09/2023	Prudential Private Capital	Senior Investment Associate	Y	Atlanta, GA, United States
10/2021 - 08/2022	Goldman Sachs	Private Wealth Management Associate	Y	Atlanta, GA, United States
11/2018 - 09/2021	Neuberger Berman	Private Equity Associate	Y	Dallas, TX, United States
09/2017 - 10/2018	Ernst & Young	Advisory Consultant	N	Dallas, TX, United States
06/2017 - 08/2017	Unemployed	Unemployed	N	Marietta, GA, United States
08/2016 - 05/2017	University of Alabama	Student	N	Tuscaloosa, AL, United States
06/2016 - 08/2016	Barclays	Summer Intern	Y	New York, NY, United States
08/2015 - 05/2016	University of Alabama	Student	N	Tuscaloosa, AL, United States
05/2015 - 08/2015	Camp Winntaska	Summer Staff	N	Pell City, AL, 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.



## End of Report

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