



IAPD Report

Jhana-Rae Cole

CRD# 7077301

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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

Jhana-Rae Cole (CRD# 7077301)

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 **11/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	05/01/2024
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	05/01/2024

QUALIFICATIONS

This representative is currently registered in **27** 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	MORGAN STANLEY	149777	Columbus, OH	03/30/2021 - 01/11/2024
IA	MORGAN STANLEY	149777	Columbus, OH	03/30/2021 - 01/11/2024
B	E*TRADE SECURITIES LLC	29106	Columbus, OH	01/13/2022 - 09/05/2023

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
Judgment/Lien	1



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 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	05/01/2024
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	06/09/2025
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/01/2024
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/01/2024
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	05/01/2024
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	06/09/2025
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/01/2024
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	06/09/2025
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/01/2024
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	06/09/2025
B Cboe Exchange, Inc.	General Securities Representative	Approved	05/01/2024
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	06/09/2025



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	05/01/2024
B FINRA	General Securities Sales Supervisor	Approved	06/09/2025
B Investors' Exchange LLC	General Securities Representative	Approved	05/01/2024
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	05/01/2024
B MEMX LLC	General Securities Representative	Approved	05/01/2024
B MEMX LLC	General Securities Sales Supervisor	Approved	06/09/2025
B MIAX Emerald, LLC	General Securities Representative	Approved	05/01/2024
B MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	06/09/2025
B MIAX PEARL, LLC	General Securities Representative	Approved	05/01/2024
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	06/09/2025
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B MIAX Sapphire	General Securities Sales Supervisor	Approved	06/09/2025
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	05/01/2024
B Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	06/09/2025
B NYSE American LLC	General Securities Representative	Approved	05/01/2024
B NYSE American LLC	General Securities Sales Supervisor	Approved	06/09/2025
B NYSE Arca, Inc.	General Securities Representative	Approved	05/01/2024
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	06/09/2025



Qualifications

Regulator	Registration	Status	Date
B NYSE National, Inc.	General Securities Representative	Approved	05/01/2024
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	06/09/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	05/01/2024
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	06/09/2025
B Nasdaq GEMX, LLC	General Securities Representative	Approved	05/01/2024
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	06/09/2025
B Nasdaq ISE, LLC	General Securities Representative	Approved	05/01/2024
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	06/09/2025
B Nasdaq MRX, LLC	General Securities Representative	Approved	05/01/2024
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	06/09/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	05/01/2024
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	06/09/2025
B Nasdaq Stock Market	General Securities Representative	Approved	05/01/2024
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/09/2025
B Nasdaq Texas, LLC	General Securities Representative	Approved	05/01/2024
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	06/09/2025
B New York Stock Exchange	General Securities Representative	Approved	05/01/2024
B New York Stock Exchange	General Securities Sales Supervisor	Approved	06/09/2025
B Alabama	Agent	Approved	06/12/2024



Qualifications

Regulator	Registration	Status	Date
B Alaska	Agent	Approved	06/12/2024
B Arizona	Agent	Approved	06/12/2024
B Arkansas	Agent	Approved	06/12/2024
B California	Agent	Approved	06/12/2024
B Colorado	Agent	Approved	06/12/2024
B Connecticut	Agent	Approved	06/12/2024
B Delaware	Agent	Approved	06/12/2024
B District of Columbia	Agent	Approved	06/12/2024
B Florida	Agent	Approved	06/12/2024
B Georgia	Agent	Approved	06/12/2024
B Hawaii	Agent	Approved	06/12/2024
B Idaho	Agent	Approved	06/12/2024
B Illinois	Agent	Approved	06/12/2024
B Indiana	Agent	Approved	06/12/2024
B Iowa	Agent	Approved	06/12/2024
B Kansas	Agent	Approved	06/12/2024
B Kentucky	Agent	Approved	06/12/2024
B Louisiana	Agent	Approved	06/12/2024
B Maine	Agent	Approved	06/12/2024



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	06/12/2024
B Massachusetts	Agent	Approved	06/12/2024
B Michigan	Agent	Approved	06/12/2024
B Minnesota	Agent	Approved	06/12/2024
B Mississippi	Agent	Approved	06/12/2024
B Missouri	Agent	Approved	06/12/2024
B Montana	Agent	Approved	06/12/2024
B Nebraska	Agent	Approved	06/12/2024
B Nevada	Agent	Approved	06/12/2024
B New Hampshire	Agent	Approved	06/12/2024
B New Jersey	Agent	Approved	06/12/2024
B New Mexico	Agent	Approved	06/12/2024
B New York	Agent	Approved	06/12/2024
B North Carolina	Agent	Approved	05/01/2024
B North Dakota	Agent	Approved	06/12/2024
B Ohio	Agent	Approved	05/02/2024
IA Ohio	Investment Adviser Representative	Approved	05/02/2024
B Oklahoma	Agent	Approved	06/12/2024
B Oregon	Agent	Approved	06/12/2024



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	06/12/2024
B Puerto Rico	Agent	Approved	06/12/2024
B Rhode Island	Agent	Approved	06/12/2024
B South Carolina	Agent	Approved	06/12/2024
B South Dakota	Agent	Approved	06/12/2024
B Tennessee	Agent	Approved	06/12/2024
B Texas	Agent	Approved	05/01/2024
IA Texas	Investment Adviser Representative	Approved	05/01/2024
B Utah	Agent	Approved	06/12/2024
B Vermont	Agent	Approved	06/12/2024
B Virgin Islands	Agent	Approved	06/12/2024
B Virginia	Agent	Approved	06/12/2024
B Washington	Agent	Approved	06/12/2024
B West Virginia	Agent	Approved	06/12/2024
B Wisconsin	Agent	Approved	06/12/2024
B Wyoming	Agent	Approved	06/12/2024

Branch Office Locations

J.P. MORGAN SECURITIES LLC
1111 Polaris Pkwy, Floor 1C
Columbus, OH 43240



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 - Options Module Examination (S9)	Series 9	06/09/2025
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/22/2023

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7TO)	Series 7TO	05/24/2019
Securities Industry Essentials Examination (SIE)	SIE	03/23/2019

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	09/16/2020

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	03/30/2021 - 01/11/2024	MORGAN STANLEY	CRD# 149777	Columbus, OH
IA	03/30/2021 - 01/11/2024	MORGAN STANLEY	CRD# 149777	Columbus, OH
B	01/13/2022 - 09/05/2023	E*TRADE SECURITIES LLC	CRD# 29106	Columbus, OH
IA	12/08/2020 - 03/01/2021	J.P. MORGAN SECURITIES LLC	CRD# 79	Westerville, OH
B	12/03/2020 - 03/01/2021	J.P. MORGAN SECURITIES LLC	CRD# 79	Westerville, OH
B	10/21/2019 - 01/27/2020	MORGAN STANLEY	CRD# 149777	COLUMBUS, OH
B	05/24/2019 - 06/12/2019	J.P. MORGAN SECURITIES LLC	CRD# 79	WESTERVILLE, OH

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
07/2024 - Present	Dessert Table Set Up	Employee/Contractor	N	Pickerington, OH, United States
04/2024 - Present	J.P. Morgan Securities LLC	PC Investment Associate Hub	Y	Columbus, OH, United States
04/2024 - Present	JPMorgan Chase Bank, N.A.	PC Investment Associate Hub	Y	Columbus, OH, United States
03/2024 - 03/2024	Robert Half	Procurement Specialist	N	Columbus, OH, United States
01/2024 - 02/2024	Unemployed	Unemployed	N	Pickerington, OH, United States
01/2022 - 12/2023	E*TRADE SECURITIES, LLC	Reg Associate, WSG (NX)	Y	Columbus, OH, United States
03/2021 - 12/2023	Morgan Stanley	Reg Associate, WSG (NX)	Y	Columbus, OH, United States
11/2020 - 02/2021	J.P. Morgan Securities LLC	Registered Rep	Y	Westerville, OH, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2020 - 02/2021	JPMorgan Chase Bank, N.A.	Financial Consultant	Y	Westerville, OH, United States
03/2020 - 12/2020	Randstad	Office I	N	Columbus, OH, United States
02/2020 - 02/2020	Unemployed	Unemployed	N	Reynoldsburg, OH, United States
09/2019 - 01/2020	Morgan Stanley	Ops Specialist, Line	Y	Columbus, OH, United States
07/2019 - 08/2019	Unemployed	Unemployed	N	Reynoldsburg, OH, United States
02/2019 - 06/2019	J.P. Morgan Securities LLC	Client Service Senior Specialist II	Y	Westerville, OH, United States
04/2018 - 02/2019	GFS Chemicals Services	Customer Service Representative	N	Columbus, OH, United States
10/2017 - 04/2018	Aerotek Professional Services	Customer Service Representative	N	Dublin, OH, United States
04/2017 - 10/2017	PNC Financial Services	Customer Service Specialist	Y	Whitehall, OH, United States
08/2017 - 08/2017	Amazon	FC I	N	Etna, OH, United States
10/2016 - 04/2017	Verizon Wireless	Customer Care Specialist	N	Hilliard, OH, United States
09/2016 - 10/2016	Safelite Group Inc	Customer Champion 1	N	Columbus, OH, United States
11/2015 - 09/2016	Columbus State Community College	Testing Proctor	N	Columbus, OH, 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: Dessert Table Set Up
Investment related: No
Address: Pickerington OH 43147
Nature of the other business: Event Services
Position/Title/Relationship: Employee/Contractor
Start Date: 07/05/2024
Approximate # of hours a week: 0-10
Approximate # of hours during securities trading hours: 0



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Briefly describe your duties: Dessert table set up for birthdays, baby showers, and other events. This is not related in any way to my role at JPMC or in any connection. I will not be utilizing JP Morgan's Client base for my business.



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
Judgment/Lien	1

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Ohio State Department of Taxation
Judgment/Lien Amount:	\$836.59
Judgment/Lien Type:	Tax
Date Filed with Court:	02/28/2025
Date Individual Learned:	06/23/2025
Type of Court:	State Court
Name of Court:	Common Pleas Court
Location of Court:	Franklin, Ohio
Docket/Case #:	25JG-02-011132
Judgment/Lien Outstanding?	Yes



End of Report

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