



IAPD Report

JASON BARRY REBACK

CRD# 735463

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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

JASON BARRY REBACK (CRD# 735463)

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 **08/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	10/09/2009
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	10/09/2009

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **36** 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
IA	J. B. HANAUER & CO.	6958	PARSIPPANY, NJ	08/03/2005 - 10/09/2009
B	J. B. HANAUER & CO.	6958	PARSIPPANY, NJ	07/05/2005 - 10/09/2009
IA	J. B. HANAUER & CO.	6958	PARSIPPANY, NJ	07/05/2005 - 07/08/2005

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
Customer Dispute	2
Termination	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 **36** 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	10/10/2009
B FINRA	General Securities Representative	Approved	10/09/2009
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	10/10/2009



Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	General Securities Representative	Approved	10/10/2009
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	10/10/2009
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/10/2009
B Nasdaq Stock Market	General Securities Representative	Approved	10/10/2009
B Nasdaq Texas, LLC	General Securities Representative	Approved	10/10/2009
B New York Stock Exchange	General Securities Representative	Approved	10/10/2009
B Arizona	Agent	Approved	06/25/2019
B Arkansas	Agent	Approved	01/28/2020
B California	Agent	Approved	10/09/2009
B Colorado	Agent	Approved	05/24/2011
B Connecticut	Agent	Approved	10/09/2009
B Delaware	Agent	Approved	07/02/2019
B District of Columbia	Agent	Approved	06/25/2019
B Florida	Agent	Approved	10/09/2009
IA Florida	Investment Adviser Representative	Approved	09/11/2023
B Georgia	Agent	Approved	07/05/2017



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	11/04/2013
B Indiana	Agent	Approved	04/16/2013
B Iowa	Agent	Approved	08/15/2017
B Kentucky	Agent	Approved	02/22/2011
B Maine	Agent	Approved	07/12/2012
B Maryland	Agent	Approved	10/09/2009
B Massachusetts	Agent	Approved	10/09/2009
B Michigan	Agent	Approved	06/26/2019
B Nebraska	Agent	Approved	01/18/2012
B New Hampshire	Agent	Approved	07/24/2023
B New Jersey	Agent	Approved	10/09/2009
IA New Jersey	Investment Adviser Representative	Approved	10/09/2009
B New Mexico	Agent	Approved	08/04/2016
B New York	Agent	Approved	10/09/2009
B North Carolina	Agent	Approved	10/09/2009
B Ohio	Agent	Approved	09/29/2019
B Oklahoma	Agent	Approved	06/24/2019
B Oregon	Agent	Approved	02/03/2020
B Pennsylvania	Agent	Approved	10/09/2009



Qualifications

Regulator	Registration	Status	Date
B Rhode Island	Agent	Approved	03/01/2019
B South Carolina	Agent	Approved	10/09/2009
B Tennessee	Agent	Approved	06/25/2019
B Texas	Agent	Approved	03/19/2013
IA Texas	Investment Adviser Representative	Restricted Approval	02/05/2015
B Vermont	Agent	Approved	11/22/2016
B Virginia	Agent	Approved	10/09/2009
B Washington	Agent	Approved	04/20/2011
B West Virginia	Agent	Approved	08/13/2019
B Wisconsin	Agent	Approved	09/10/2020

Branch Office Locations

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

RBC CAPITAL MARKETS, LLC
Delray Beach, FL

RBC CAPITAL MARKETS, LLC
PARSIPPANY, NJ



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 1 principal/supervisory exam, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	07/06/1998

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	01/20/2004
	General Securities Representative Examination (S7)	Series 7	10/16/1982
	Direct Participation Programs Representative Examination (S22)	Series 22	06/14/1982
	Municipal Securities Representative Examination (S52)	Series 52	07/18/1981

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	06/27/2002
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/19/1983

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
IA	08/03/2005 - 10/09/2009	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ
B	07/05/2005 - 10/09/2009	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ
IA	07/05/2005 - 07/08/2005	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ
IA	07/18/2002 - 07/06/2005	MORGAN STANLEY	CRD# 7556	ROCKAWAY, NJ
B	10/21/1999 - 07/06/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	09/01/1999 - 11/09/1999	TUCKER ANTHONY INCORPORATED	CRD# 837	BOSTON, MA
B	10/27/1993 - 09/01/1999	GIBRALTAR SECURITIES CO.	CRD# 7093	FLORHAM PARK, NJ
B	08/03/1990 - 09/09/1993	JANNEY MONTGOMERY SCOTT INC.	CRD# 463	PHILADELPHIA, PA
B	02/05/1988 - 08/09/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	06/21/1985 - 01/29/1988	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	
B	03/15/1983 - 05/15/1985	MOORE & SCHLEY, CAMERON & CO.	CRD# 6917	
B	02/07/1983 - 05/13/1985	MOORE & SCHLEY MUNICIPALS, INC.	CRD# 8000	
B	10/20/1982 - 02/04/1983	SHEARSON/AMERICAN EXPRESS INC.	CRD# 7506	
B	06/21/1982 - 10/08/1982	ISLAND PLANNING CORP. OF AMERICA	CRD# 444	
B	07/20/1981 - 03/30/1982	J. B. HANAUER & CO.	CRD# 6958	

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
12/2017 - Present	City National Bank	Employee of an Affiliate	Y	Florham Park, NJ, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2009 - Present	RBC CAPITAL MARKETS, LLC	Registered Representative	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.

CYSTIC FIBROSIS FOUNDATION- NEW JERSEY; ADDRESS: 6931 ARLINGTON ROAD STE 200 BETHESDA, MD 20814; BUSINESS DESCRIPTION: NOT FOR PROFIT; NOT INVESTMENT RELATED; START DATE: 05/01/2013; CAPACITY: BOARD OF DIRECTORS; DUTIES: VOLUNTEERING, EVENT FUND RAISING, RECRUITING NEW VOLUNTEERS; HOURS DEVOTED PER WEEK: 1; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 0



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
Regulatory Event	1
Customer Dispute	2
Termination	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: NASD

Sanction(s) Sought:

Date Initiated: 05/18/2005

Docket/Case Number: [C9B050033](#)

Employing firm when activity occurred which led to the regulatory action: MORGAN STANLEY DEAN WITTER, INC.

Product Type: No Product

Allegations: NASD RULES IM-2310-2, 2110 - RESPONDENT PURCHASED BONDS IN THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT THE CUSTOMER'S CONSENT OR AUTHORITY.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 05/18/2005



Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, REBACK
CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF
FINDINGS, THEREFORE HE IS SUSPENDED FROM ASSOCIATION WITH ANY
NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS AND FINED
\$6,316, WHICH INCLUDES DISGORGEMENT OF COMMISSIONS OF \$1,316.00.
THE SUSPENSION WILL BEGIN JUNE 20, 2005 AND WILL CONCLUDE JULY 1,
2005. FINES PAID.

Reporting Source: Individual

**Regulatory Action Initiated
By:** NASD

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: FINE

Date Initiated: 05/18/2005

Docket/Case Number: [C9B050033](#)

**Employing firm when activity
occurred which led to the
regulatory action:** MORGAN STANLEY DW INC.

Product Type: Debt - Corporate

Other Product Type(s):

Allegations: NASD RULES IM-2310-2, 2110 - RESPONDENT PURCHASED BONDS IN THE
ACCOUNT OF A PUBLIC CUSTOMER WITHOUT THE CUSTOMER'S CONSENT
OR AUTHORITY.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/18/2005

Sanctions Ordered: Monetary/Fine \$6,316.00
Suspension

Other Sanctions Ordered: N/A

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, REBACK
CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF
FINDINGS. SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN
ANY CAPACITY FOR 10 BUSINESS DAYS AND FINED \$6,316, WHICH
INCLUDES DISGORGEMENT OF COMMISSIONS OF \$1,316.00. SUSPENSION
COMMENCED WITH THE OPENING OF BUSINESS ON JUNE 20, 2005 AND
WILL CONCLUDE AT THE CLOSE OF BUSINESS ON JULY 1, 2005.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CUSTOMER ALLEGES UNSUITABLE RECOMMENDATIONS FROM 2000 TO 2002.

Product Type: Equity - OTC

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 06/29/2004

Complaint Pending? No

Status: Closed/No Action
Denied

Status Date: 06/29/2006

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement COMPLAINT REJECTED 8/27/2004. THIS IS NO LONGER DISCLOSABLE ON MR. REBACK'S U-4 AS OF JUNE 29, 2006, BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING.

Product Type: Debt - Corporate

Other Product Type(s): BONDS

Alleged Damages: \$17,000.00

Customer Complaint Information

Date Complaint Received: 08/29/2003

Complaint Pending? No

Status: Settled



Status Date: 06/20/2005

Settlement Amount: \$19,700.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING.

Product Type: Debt - Corporate

Other Product Type(s): BONDS

Alleged Damages: \$17,000.00

Customer Complaint Information

Date Complaint Received: 08/29/2003

Complaint Pending? No

Status: Denied
Settled

Status Date: 06/20/2005

Settlement Amount: \$19,700.00

Individual Contribution Amount: \$0.00

Broker Statement COMPLAINT WAS ORIGINALLY DENIED. MORGAN STANLEY SETTLED FOR \$19,700.00



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	JANNEY MONTGOMERY SCOTT
Termination Type:	Discharged
Termination Date:	07/09/1993
Allegations:	NA THE ALLEGATIONS WERE THAT I ENGAGED IN OUTSIDE BUSINESS ACTIVITIES WITHOUT FULL AND COMPLETE DISCLOSURE TO MY EMPLOYER FIRM.
Product Type:	
Other Product Types:	
Broker Statement	I WAS TERMINATED FROM JANNEY MONTGOMERY SCOTT ON 7/9/93 NA



End of Report

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