



## IAPD Report

# Karla Patricia Butler

CRD# 7448833

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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

### Karla Patricia Butler (CRD# 7448833)

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 **09/12/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	J.P. MORGAN SECURITIES LLC	CRD# 79	03/05/2024
<b>IA</b>	J.P. MORGAN SECURITIES LLC	CRD# 79	03/05/2024

### QUALIFICATIONS

This representative is currently registered in **26** SRO(s) and 6 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>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	GARDEN CITY, NY	11/28/2022 - 03/04/2024
<b>IA</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	GARDEN CITY, NY	11/28/2022 - 03/04/2024
<b>IA</b>	EQUITABLE ADVISORS, LLC	6627	WOODBURY, NY	06/15/2022 - 10/20/2022

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 **6** 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	03/05/2024
<b>B</b>	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	03/05/2024
<b>B</b>	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	03/05/2024
<b>B</b>	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	03/05/2024
<b>B</b>	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	03/05/2024
<b>B</b>	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	03/05/2024
<b>B</b>	Cboe Exchange, Inc.	General Securities Representative	Approved	03/05/2024
<b>B</b>	FINRA	General Securities Representative	Approved	03/05/2024
<b>B</b>	Investors' Exchange LLC	General Securities Representative	Approved	03/05/2024
<b>B</b>	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	03/05/2024
<b>B</b>	MEMX LLC	General Securities Representative	Approved	03/05/2024
<b>B</b>	MIAX Emerald, LLC	General Securities Representative	Approved	03/05/2024
<b>B</b>	MIAX PEARL, LLC	General Securities Representative	Approved	03/05/2024



## 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	03/05/2024
B	NYSE American LLC	General Securities Representative	Approved	03/05/2024
B	NYSE Arca, Inc.	General Securities Representative	Approved	03/05/2024
B	NYSE National, Inc.	General Securities Representative	Approved	03/05/2024
B	NYSE Texas, Inc.	General Securities Representative	Approved	03/05/2024
B	Nasdaq BX, Inc.	General Securities Representative	Approved	03/05/2024
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	03/05/2024
B	Nasdaq ISE, LLC	General Securities Representative	Approved	03/05/2024
B	Nasdaq MRX, LLC	General Securities Representative	Approved	03/05/2024
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/05/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	03/05/2024
B	New York Stock Exchange	General Securities Representative	Approved	03/05/2024
B	Connecticut	Agent	Approved	03/05/2024
B	Florida	Agent	Approved	09/12/2024
B	New Jersey	Agent	Approved	03/05/2024
B	New York	Agent	Approved	03/05/2024
IA	New York	Investment Adviser Representative	Approved	03/05/2024



## Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	03/05/2024
B	Texas	Agent	Approved	03/05/2024
IA	Texas	Investment Adviser Representative	Approved	03/05/2024

## Branch Office Locations

**J.P. MORGAN SECURITIES LLC**  
895 MERRICK ROAD  
COPIAGUE, NY 11726

**J.P. MORGAN SECURITIES LLC**  
523 W. MONTAUK HWY  
WEST BABYLON, NY 11704



## 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
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination (S7TO)	Series 7TO	01/05/2022
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	09/20/2021

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	06/11/2022



### 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	11/28/2022 - 03/04/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	GARDEN CITY, NY
IA	11/28/2022 - 03/04/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	GARDEN CITY, NY
IA	06/15/2022 - 10/20/2022	EQUITABLE ADVISORS, LLC	CRD# 6627	WOODBURY, NY
B	01/05/2022 - 10/20/2022	EQUITABLE ADVISORS, LLC	CRD# 6627	WOODBURY, NY

### 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
03/2024 - Present	J.P. Morgan Securities LLC	Private Client Advisor - AGP	Y	Copiague, NY, United States
03/2024 - Present	JPMorgan Chase Bank, N.A.	Private Client Advisor - AGP	Y	Copiague, NY, United States
11/2022 - 03/2024	Bank of America, N.A.	FSA - Merrill	Y	Garden City, NY, United States
11/2022 - 03/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Registered Rep	Y	Garden City, NY, United States
10/2021 - 10/2022	Equitable Advisors, LLC	Registered Rep	Y	New York, NY, United States
10/2021 - 10/2022	Equitable Financial Life Ins Co	Sales Force Associate	Y	New York, NY, United States
01/2021 - 10/2022	Karla P. Butler Tax Services	Owner	N	Copiague, NY, United States
11/2021 - 07/2022	Marcus Organization	Accounting Associate	N	Farmingdale, NY, United States
10/2016 - 03/2021	The Sapir Organization	Accounts Receivable Associate	N	New York, NY, United States
09/2016 - 10/2016	Unemployed	Unemployed	N	Roosevelt, NY, United States
02/2016 - 08/2016	Broadway Mall Management	Staff Accountant	N	Hicksville, NY, United States
07/2012 - 01/2016	The Sapir Organization	Accounts Payable Coordinator	N	New York, NY, United States





## Registration & Employment History



### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
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### 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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