IAPD Report

THOMAS JOHN TARKA

CRD# 852709

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

THOMAS JOHN TARKA (CRD# 852709)

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 **03/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	04/18/2017
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	04/18/2017

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **14** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	PHILADELPHIA, PA	06/18/2010 - 04/20/2017
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	PHILADELPHIA, PA	03/08/2006 - 04/20/2017
B	ADVEST, INC.	10	PHILADELPHIA, PA	07/08/1985 - 03/08/2006

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
Customer Dispute	2
Termination	1

User Guidance

www.adviserinfo.sec.gov

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 **14** 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	04/18/2017
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	04/18/2017
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 C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/18/2017
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	04/18/2017
B	FINRA	General Securities Representative	Approved	04/18/2017

Qualifications

	Regulator	Registration	Status	Date
B	FINRA	General Securities Sales Supervisor	Approved	04/18/2017
B	Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/02/2020
B	MEMX LLC	General Securities Representative	Approved	11/01/2020
B	MEMX LLC	General Securities Sales Supervisor	Approved	11/01/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B	MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/02/2020
B	NYSE American LLC	General Securities Representative	Approved	04/18/2017
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	04/18/2017
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	04/18/2017
B	NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B	NYSE National, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B	Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	11/18/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	04/18/2017

Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	04/18/2017
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	04/18/2017
B	Nasdaq Stock Market	General Securities Representative	Approved	04/18/2017
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	04/18/2017
B	Nasdaq Texas, LLC	General Securities Representative	Approved	04/18/2017
B	Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	04/18/2017
B	New York Stock Exchange	General Securities Representative	Approved	04/18/2017
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Arizona	Agent	Approved	04/18/2017
B	California	Agent	Approved	03/04/2026
B	Colorado	Agent	Approved	04/18/2017
B	Connecticut	Agent	Approved	04/18/2017
B	Delaware	Agent	Approved	04/18/2017
B	District of Columbia	Agent	Approved	03/27/2024
B	Florida	Agent	Approved	04/18/2017
B	Maryland	Agent	Approved	04/18/2017
B	Massachusetts	Agent	Approved	04/17/2024
B	New Jersey	Agent	Approved	04/18/2017

Qualifications

	Regulator	Registration	Status	Date
B	New Mexico	Agent	Approved	02/22/2023
B	New York	Agent	Approved	04/18/2017
B	Pennsylvania	Agent	Approved	04/18/2017
IA	Pennsylvania	Investment Adviser Representative	Approved	04/18/2017
B	Virginia	Agent	Approved	04/18/2017

Branch Office Locations

RBC CAPITAL MARKETS, LLC
SIX TOWER BRIDGE, 181 WASHINGTON STREET
SUITE 500
CONSHOHOCKEN, PA 19428-2000

RBC CAPITAL MARKETS, LLC
Villanova, PA

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	07/26/2004
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	07/22/2004

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	05/20/1978

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/15/2004
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/26/1979

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	06/18/2010 - 04/20/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PHILADELPHIA, PA
B	03/08/2006 - 04/20/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PHILADELPHIA, PA
B	07/08/1985 - 03/08/2006	ADVEST, INC.	CRD# 10	PHILADELPHIA, PA
B	04/22/1982 - 06/24/1985	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	06/01/1979 - 04/29/1982	BUTCHER & SINGER INC.	CRD# 6517	
B	06/01/1978 - 06/17/1979	FIRST JERSEY SECURITIES, INC.	CRD# 6621	

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
08/2017 - Present	City National Bank	Employee of an affiliate	Y	Conshohocken, PA, United States
04/2017 - Present	RBC CAPITAL MARKETS, LLC	Registered Representative	Y	PHILADELPHIA, PA, United States
09/2010 - 04/2017	BANK OF AMERICA,NA	FINANCIAL ADVISOR	Y	PHILADELPHIA, PA, United States
03/2006 - 04/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Mass Transfer	Y	PHILADELPHIA, PA, 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.

(1) ANNA FRIDENBERG RESIDUARY TRUST; ADDRESS: ONE WEST FOURTH ST., 2ND FL, WINSTON-SALEM, NC; BUSINESS DESCRIPTION: TRUST; NOT INVESTMENT RELATED; START DATE: 04/15/1999; CAPACITY: CO-TTEE; DUTIES: FINANCIAL OVERSIGHT; HOURS DEVOTED PER MONTH: 1; HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: NONE

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
Customer Dispute	2
Termination	1

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:	
Allegations:	CLIENT ALLEGES THAT HE WAS UNWARE OF COMMISSIONS CHARGED AND SUITABILITY. HE IS SEEKING DAMAGES OF $164,310.53 PLUS ATTORNEY'S FEES AND COSTS.
Product Type:	
Alleged Damages:	$164,310.53

Customer Complaint Information

Date Complaint Received:	11/02/1992
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	American Arbitration Association

Date Notice/Process Served:	
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	06/29/1993
Monetary Compensation Amount:	$91,000.00
Individual Contribution Amount:	$30,000.00
Broker Statement	SETTLED AGAINST ADVEST, INC. AND TARKA JOINTLY AND SEVERALLY IN THE SUM OF $61,000.00 AND AGAINST TARKA INDIVIDUALLY IN THE SUM OF $30,000.00. ARBITRATION TOOK PLACE IN FRONT OF AN AAA PANEL. I BELIEVE THEY ATTEMPTED TO APPEASE BOTH PARTIES WITH THEIR AWARD. CLAIMANT AND COUNSEL CONTRADICTED THEIR OWN TESTIMONY ALL THRU THE PROCEEDINGS. AFTER AWARD WAS MADE BOTH ADVEST AND MYSELF WERE INFORMED BY OUR LEGAL COUNSEL THAT THERE IS NO APPEAL MECHANISM TO A AAA ARBITRATION.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	
Product Type:	
Alleged Damages:	$50,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	AMERICAN STOCK EXCHANGE
Date Notice/Process Served:	08/27/1987
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	06/02/1988

Monetary Compensation Amount:	$5,893.37
Individual Contribution Amount:	
Broker Statement	CUSTOMER [CUSTOMER] SUED MERRILL LYNCH, ADVEST, AND MERRILL LYNCH'S FORMER FINANCIAL CONSULTANT, THOMAS TARKA, ALLEGING UNSUITABLE TRADING IN HIS ACCOUNT. ON AUGUST 27, 1987, [CUSTOMER] SENT A REQUEST TO THE AMERICAN STOCK EXCHANGE REQUESTING ARBITRATION TO RECOUP $50,000.00 IN LOSSES ON OPTIONS. MERRILL LYNCH DEFENDED ALL ACCUSATIONS MADE BY [CUSTOMER] IN ITS ANSWER OF OCTOBER 1987. [CUSTOMER] MAINTAINED HIS ACCOUNT FOR MERRILL LYNCH FOR ONLY TWO YEARS. DURING THAT TIME, 15 STOCK PURCHASES AND 14 OPTION TRADES TOOK PLACE. ALL BUT TWO OF THE OPTION TRADES REALIZED A PROFIT AND ALL OPTION TRADES WERE COVERED. DESPITE MERRILL LYNCH'S ASSERTION THAT NO IMPROPER ACTIVITY TOOK PLACE IN THIS ACCOUNT, HOWEVER, ON JUNE 2, 1988, THE AMEX ARBITRATORS AWARDED [CUSTOMER] $5,893.37 AGAINST THOMAS TARKA.

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:	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.
Termination Type:	Permitted to Resign
Termination Date:	06/24/1985
Allegations:	N/A
Product Type:	No Product
Other Product Types:	
Broker Statement	PLEASE NOTE THIS IS NOT A REPORTABLE ITEM. MR. TARKA DID NOT VIOLATE INVESTMENT RELATED STATUES, REGULATIONS RULES OR INDUSTRY STANDARDS OF CONDUCT. NO QUESTIONS ON FORM U4 APPLY TO THIS MATTER.

End of Report

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