



IAPD Report

CHERYL ANN DAWSON MEESE

CRD# 870665

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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

CHERYL ANN DAWSON MEESE (CRD# 870665)

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 **12/11/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	06/30/1998
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	06/06/2002

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **45** 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	PIPER JAFFRAY INC.	665	MINNEAPOLIS, MN	01/24/1992 - 07/13/1998
B	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ	10/06/1980 - 01/28/1992
B	SHEARSON LOEB RHOADES INC.	7506	WEEHAWKEN, NJ	01/24/1980 - 10/30/1980

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	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 **45** 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 Principal	Approved	05/11/2012
B BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B BOX Exchange LLC	Registered Options Principal	Approved	05/11/2012
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	10/02/2018
B Cboe BYX Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	Registered Options Principal	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 C2 Exchange, Inc.	Registered Options Principal	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	07/06/2021



Qualifications

Regulator	Registration	Status	Date
B Cboe EDGA Exchange, Inc.	General Securities Principal	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 Principal	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 EDGX Exchange, Inc.	Registered Options Principal	Approved	11/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	07/10/1998
B Cboe Exchange, Inc.	Registered Options Principal	Approved	07/10/1998
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	10/02/2018
B Cboe Exchange, Inc.	General Securities Principal	Approved	07/06/2021
B FINRA	General Securities Principal	Approved	06/30/1998
B FINRA	General Securities Representative	Approved	06/30/1998
B FINRA	Municipal Securities Principal	Approved	06/30/1998
B FINRA	Registered Options Principal	Approved	06/30/1998
B FINRA	General Securities Sales Supervisor	Approved	10/02/2018
B FINRA	Invest. Co and Variable Contracts	Approved	01/04/2021
B FINRA	Municipal Securities Representative	Approved	01/04/2021
B Investors' Exchange LLC	General Securities Principal	Approved	11/18/2020



Qualifications

Regulator	Registration	Status	Date
B Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	11/01/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B MEMX LLC	General Securities Principal	Approved	11/02/2020
B MEMX LLC	General Securities Representative	Approved	11/02/2020
B MEMX LLC	General Securities Sales Supervisor	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Principal	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/02/2020
B MIAX PEARL, LLC	Registered Options Principal	Approved	11/02/2020
B NYSE American LLC	General Securities Representative	Approved	06/30/1998
B NYSE American LLC	Registered Options Principal	Approved	06/30/1998
B NYSE American LLC	General Securities Principal	Approved	11/01/2006
B NYSE American LLC	Municipal Securities Principal	Approved	11/01/2006
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE American LLC	Municipal Securities Representative	Approved	01/04/2021
B NYSE Arca, Inc.	General Securities Representative	Approved	07/10/1998
B NYSE Arca, Inc.	Registered Options Principal	Approved	07/10/1998



Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	General Securities Principal	Approved	07/11/2006
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/02/2018
B NYSE National, Inc.	General Securities Principal	Approved	11/18/2020
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 National, Inc.	Municipal Securities Principal	Approved	11/18/2020
B NYSE National, Inc.	Municipal Securities Representative	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Principal	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 Principal	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 GEMX, LLC	Registered Options Principal	Approved	11/18/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	03/01/2008
B Nasdaq ISE, LLC	Registered Options Principal	Approved	03/01/2008
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/02/2018
B Nasdaq ISE, LLC	General Securities Principal	Approved	11/18/2020
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/01/2008

**Qualifications**

Regulator	Registration	Status	Date
B Nasdaq PHLX LLC	Registered Options Principal	Approved	03/01/2008
B Nasdaq PHLX LLC	General Securities Principal	Approved	06/26/2012
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	10/02/2018
B Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	Registered Options Principal	Approved	03/01/2008
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	10/02/2018
B Nasdaq Texas, LLC	General Securities Principal	Approved	01/13/2009
B Nasdaq Texas, LLC	General Securities Representative	Approved	01/13/2009
B Nasdaq Texas, LLC	Registered Options Principal	Approved	01/13/2009
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	10/02/2018
B New York Stock Exchange	General Securities Representative	Approved	06/30/1998
B New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B New York Stock Exchange	Municipal Securities Principal	Approved	06/26/2010
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B New York Stock Exchange	Municipal Securities Representative	Approved	01/04/2021
B Alabama	Agent	Approved	10/03/2018
B Alaska	Agent	Approved	12/09/2016
B Arizona	Agent	Approved	02/04/2002



Qualifications

Regulator	Registration	Status	Date
B Arkansas	Agent	Approved	09/12/2008
B California	Agent	Approved	07/10/1998
B Colorado	Agent	Approved	09/12/2002
B Connecticut	Agent	Approved	02/08/2022
B Delaware	Agent	Approved	12/14/2016
B Florida	Agent	Approved	06/30/1998
B Georgia	Agent	Approved	06/30/1998
B Hawaii	Agent	Approved	09/04/2014
B Idaho	Agent	Approved	08/30/2002
B Illinois	Agent	Approved	06/30/1998
B Indiana	Agent	Approved	06/30/1998
B Iowa	Agent	Approved	06/30/1998
B Kansas	Agent	Approved	06/30/1998
B Kentucky	Agent	Approved	06/30/1998
B Maryland	Agent	Approved	10/05/1999
B Massachusetts	Agent	Approved	06/30/1998
B Michigan	Agent	Approved	07/23/2008
B Minnesota	Agent	Approved	06/30/1998
IA Minnesota	Investment Adviser Representative	Approved	11/20/2013



Qualifications

Regulator	Registration	Status	Date
B Mississippi	Agent	Approved	06/04/2021
B Missouri	Agent	Approved	08/24/2004
B Montana	Agent	Approved	06/07/2017
B Nebraska	Agent	Approved	06/30/1998
B Nevada	Agent	Approved	07/30/2012
B New Jersey	Agent	Approved	06/30/1998
B New Mexico	Agent	Approved	01/05/2021
B New York	Agent	Approved	06/30/1998
B North Carolina	Agent	Approved	01/24/2012
B North Dakota	Agent	Approved	05/13/2024
B Ohio	Agent	Approved	04/13/2012
B Oklahoma	Agent	Approved	06/30/1998
B Oregon	Agent	Approved	06/04/2010
B Pennsylvania	Agent	Approved	05/12/2016
B Rhode Island	Agent	Approved	07/12/2023
B South Carolina	Agent	Approved	01/06/1999
B South Dakota	Agent	Approved	11/13/2013
B Tennessee	Agent	Approved	12/05/2011



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	06/30/1998
IA Texas	Investment Adviser Representative	Restricted Approval	11/28/2016
B Utah	Agent	Approved	07/29/2008
B Virginia	Agent	Approved	09/02/1999
B Washington	Agent	Approved	06/30/1998
B West Virginia	Agent	Approved	07/26/2017
B Wisconsin	Agent	Approved	06/30/1998

Branch Office Locations

RBC CAPITAL MARKETS, LLC
1420 LONDON ROAD
Suite 201
DULUTH, MN 55805-2425

RBC CAPITAL MARKETS, LLC
Duluth, MN









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 6 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	10/19/1995
 NYSE Branch Manager Examination (S12)	Series 12	03/17/1984
 Registered Options Principal Examination (S4)	Series 4	03/20/1982
 General Securities Principal Examination (S24)	Series 24	01/11/1982

General Industry/Product Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	05/21/2004
 Interest Rate Options Examination (S5)	Series 5	12/12/1981
 General Securities Representative Examination (S7)	Series 7	08/18/1979



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/29/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/15/1979

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	01/24/1992 - 07/13/1998	PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	10/06/1980 - 01/28/1992	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	01/24/1980 - 10/30/1980	SHEARSON LOEB RHOADES INC.	CRD# 7506	
B	08/28/1979 - 02/04/1980	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	

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
03/2020 - Present	CITY NATIONAL BANK	EMPLOYEE OF AN AFFILIATE	Y	DULUTH, MN, United States
03/2008 - Present	RBC CAPITAL MARKETS , LLC	FINANCIAL ADVISOR	Y	DULUTH, MN, 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) ANIMAL ALLIES HUMANE SOCIETY; ADDRESS: 4006 AIRPORT ROAD DULUTH, MN 55811; BUSINESS DESCRIPTION: HUMANE SOCIETY; NOT INVESTMENT RELATED; START DATE: 01/01/2018; CAPACITY: DIRECTOR; DUTIES: BOARD MEETINGS, STRATEGIC PLANNING, SERVING ON COMMITTEES; HOURS DEVOTED PER MONTH: <1; HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: <1;

(2) KITCHI GAMMI CLUB FOUNDATION; ADDRESS: 831 EAST SUPERIOR STREET DULUTH, MN 55802; BUSINESS DESCRIPTION: PRIVATE FOUNDATION; NOT INVESTMENT RELATED; START DATE: 11/15/2011; CAPACITY: BOARD OF DIRECTORS; DUTIES: MONTHLY MEETINGS; HOURS DEVOTED PER WEEK: .50; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: .25

(3) GIANNI BUONOMO; ADDRESS: P.O. BOX 7556 SAN DIEGO, CA 92167; BUSINESS DESCRIPTION: WINERY; NOT INVESTMENT RELATED; START DATE: 12/01/2014; CAPACITY: OWNER-PASSIVE; DUTIES: ADVISING ON COMPOSITION OF NEWLY BOTTLED WINES; HOURS DEVOTED PER WEEK: 0; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 0

(4) NAME OF ENTITY: NATCOM Bancshares; ADDRESS: 1127 Tower Ave. Superior, WI 54880; INVESTMENT RELATED/NOT INVESTMENT RELATED: Investment Related; BUSINESS DESCRIPTION: Bank Holding Company; CAPACITY: Board of Directors; START DATE: 02/24/2015; DUTIES: I will be part of the board who will be making decisions in support of the holding company. I will be serving on committees as well as chairing the Enterprise Risk Management Committee of the board; HOURS



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DEVOTED PER MONTH: 2 per week; HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: Zero

5) NAME OF ENTITY: AMCANN, LLLP

ADDRESS: 1214 Brockway Ct, Lakeland, FL 33801

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Small Private

START DATE: 11.21.24

CAPACITY: Partnership

DUTIES: I will facilitate the investments in the LLLP's Focus account., as well as assuring that funds are readily available to pay invoices and for distributions to the Partners.

HOURS DEVOTED PER MONTH: 1

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 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
Customer Dispute	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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RBC DAIN RAUSCHER
Allegations:	[CUSTOMER'S] CHILDREN, [FAMILY MEMBER] AND [FAMILY MEMBER], ALLEGE HER INVESTMENTS WERE INAPPROPRIATE. ALTHOUGH THEY HAVE NOT ESTIMATED COMPENSATORY DAMAGES, THE ACTIVITY AT ISSUE EXCEEDS \$5,000.
Product Type:	Equity - OTC
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	04/26/2005
Complaint Pending?	No
Status:	Settled
Status Date:	07/18/2005
Settlement Amount:	\$20,000.00
Individual Contribution Amount:	\$8,000.00



End of Report

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