

BrokerCheck Report

JOHN W SHAMLIAN

CRD# 1031773

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



JOHN W. SHAMLIAN
CRD# 1031773

Currently employed by and registered with the following Firm(s):

- IA

RBC CAPITAL MARKETS, LLC
5786 WIDEWATERS PKWY
Suite 2
SYRACUSE, NY 13214
CRD# 31194
Registered with this firm since: 02/23/2024
- B

RBC CAPITAL MARKETS, LLC
5786 WIDEWATERS PKWY
Suite 2
SYRACUSE, NY 13214-3500
CRD# 31194
Registered with this firm since: 02/23/2024

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 22 Self-Regulatory Organizations
- 34 U.S. states and territories



This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA

WELLS FARGO CLEARING SERVICES, LLC
CRD# 19616
ST. LOUIS, MO
03/2018 - 02/2024
- B

WELLS FARGO CLEARING SERVICES, LLC
CRD# 19616
SYRACUSE, NY
05/2008 - 02/2024
- B

UBS FINANCIAL SERVICES INC.
CRD# 8174
SYRACUSE, NY
02/1994 - 05/2008

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	3

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 22 SROs and is licensed in 34 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Office Address: **200 VESEY ST.
NEW YORK, NY 10281**

Firm CRD#: **31194**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	02/23/2024
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	02/23/2024
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	02/23/2024
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	02/23/2024
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	02/23/2024
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	02/23/2024
B	Cboe Exchange, Inc.	General Securities Representative	Approved	02/23/2024
B	FINRA	General Securities Representative	Approved	02/23/2024
B	Investors' Exchange LLC	General Securities Representative	Approved	02/23/2024
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	02/23/2024
B	MEMX LLC	General Securities Representative	Approved	02/23/2024
B	MIAX PEARL, LLC	General Securities Representative	Approved	02/23/2024
B	NYSE American LLC	General Securities Representative	Approved	02/23/2024
B	NYSE Arca, Inc.	General Securities Representative	Approved	02/23/2024
B	NYSE National, Inc.	General Securities Representative	Approved	02/23/2024



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B NYSE Texas, Inc.	General Securities Representative	Approved	02/23/2024
B Nasdaq BX, Inc.	General Securities Representative	Approved	02/23/2024
B Nasdaq GEMX, LLC	General Securities Representative	Approved	02/23/2024
B Nasdaq ISE, LLC	General Securities Representative	Approved	02/23/2024
B Nasdaq PHLX LLC	General Securities Representative	Approved	02/23/2024
B Nasdaq Stock Market	General Securities Representative	Approved	02/23/2024
B New York Stock Exchange	General Securities Representative	Approved	02/23/2024

U.S. State/ Territory	Category	Status	Date
B Alaska	Agent	Approved	02/23/2024
B Arizona	Agent	Approved	02/23/2024
B California	Agent	Approved	02/23/2024
B Colorado	Agent	Approved	02/23/2024
B Connecticut	Agent	Approved	02/23/2024
B Delaware	Agent	Approved	02/23/2024
B District of Columbia	Agent	Approved	02/23/2024
B Florida	Agent	Approved	02/26/2024
B Georgia	Agent	Approved	02/23/2024
B Illinois	Agent	Approved	03/04/2024
B Indiana	Agent	Approved	02/24/2024
B Iowa	Agent	Approved	02/23/2024
B Louisiana	Agent	Approved	02/23/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Maine	Agent	Approved	02/23/2024
B	Maryland	Agent	Approved	02/23/2024
B	Massachusetts	Agent	Approved	02/23/2024
B	Michigan	Agent	Approved	02/23/2024
B	Nevada	Agent	Approved	02/23/2024
B	New Hampshire	Agent	Approved	02/23/2024
B	New Jersey	Agent	Approved	02/23/2024
IA	New Jersey	Investment Adviser Representative	Approved	03/05/2024
B	New York	Agent	Approved	02/23/2024
IA	New York	Investment Adviser Representative	Approved	02/23/2024
B	North Carolina	Agent	Approved	02/23/2024
B	North Dakota	Agent	Approved	02/23/2024
B	Ohio	Agent	Approved	02/23/2024
B	Oregon	Agent	Approved	02/23/2024
B	Pennsylvania	Agent	Approved	02/23/2024
B	Rhode Island	Agent	Approved	02/23/2024
B	South Carolina	Agent	Approved	02/28/2024
B	Tennessee	Agent	Approved	01/10/2025
B	Texas	Agent	Approved	02/23/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	02/23/2024
B	Utah	Agent	Approved	02/23/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Vermont	Agent	Approved	02/23/2024
B	Virginia	Agent	Approved	02/23/2024
B	West Virginia	Agent	Approved	02/23/2024

Branch Office Locations

RBC CAPITAL MARKETS, LLC
5786 WIDEWATERS PKWY
Suite 2
SYRACUSE, NY 13214-3500

RBC CAPITAL MARKETS, LLC
Avalon, NJ

RBC CAPITAL MARKETS, LLC
Jamesville, NY



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/19/1983
B Investment Company Products/Variable Contracts Representative Examination	Series 6	02/18/1982

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/14/1995
B Uniform Securities Agent State Law Examination	Series 63	12/02/1983

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 03/2018 - 02/2024	WELLS FARGO CLEARING SERVICES, LLC	19616	SYRACUSE, NY
B 05/2008 - 02/2024	WELLS FARGO CLEARING SERVICES, LLC	19616	SYRACUSE, NY
B 02/1994 - 05/2008	UBS FINANCIAL SERVICES INC.	8174	SYRACUSE, NY
B 11/1983 - 02/1994	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 02/1982 - 08/1983	IDS MARKETING CORPORATION	6363	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
02/2024 - Present	RBC Capital Markets, LLC	Registered Representative	Y	Syracuse, NY, United States
11/2016 - 02/2024	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SYRACUSE, NY, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SYRACUSE, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	3	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLIENT VERBALLY ALLEGED THAT THE FIRST SHE HEARD OF MUTUAL FUNDS PURCHASED IN THE ACCOUNT WAS WHEN SHE RECEIVED TRANSACTION CONFIRMATIONS. TIME PERIOD JAN 200-2004.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$1,000,000.00

Customer Complaint Information

Date Complaint Received:	04/20/2006
Complaint Pending?	No
Status:	Settled
Status Date:	04/20/2006
Settlement Amount:	\$20,000.00
Individual Contribution Amount:	\$0.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: PRIOR VERBAL COMPLAINT RECEIVED 6/2/04 REGARDING MUTUAL FUND SALES CHARGES. IN SUBSEQUENT CORRESPONDENCE RECEIVED 7/13/04, CLIENT'S ATTORNEY ALLEGES THAT "WITHOUT ANY NOTIFICATION, SUBSTANTIAL FUND TRANSFERS WERE MADE INTO BACK-END-LOADED MUTUAL FUNDS. [FINANCIAL ADVISOR'S] ACTIONS ON BEHALF OF UBS WERE INAPPROPRIATE, SELF-SERVING AND ILLEGAL." DAMAGES UNSPECIFIED BUT ESTIMATED TO EXCEED \$5,000. TIME PERIOD IS 2004.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/13/2004

Complaint Pending? No

Status: Denied

Status Date: 08/16/2004

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PAINEWEBBER

Allegations: CLIENT ALLEGES THAT FA MISREPRESENTED THE TERMS OF THE



STEPDOWN CDS THAT HE PURCHASED IN SEVERAL OF HIS ACCOUNTS AND THAT THE FA FAILED TO FOLLOW HIS INSTRUCTIONS TO LIQUIDATE CERTAIN OF THE STEPDOWN CDS FROM HIS ACCOUNTS. TIME PERIOD 1/99. DAMAGES WERE NOT SPECIFIED, HOWEVER, ESTIMATED DAMAGE EXCEEDS \$5,000.

Product Type: CD(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 01/24/2000

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/28/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement PLEASE ARCHIVE - NO LONGER REPORTABLE.

End of Report



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