

BrokerCheck Report

EARL GERARD RIX

CRD# 1172407

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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.

EARL G. RIX

CRD# 1172407

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

- B BMO CAPITAL MARKETS CORP.**
 151 West 42nd St
 New York, NY 10036
 CRD# 16686
 Registered with this firm since: 09/01/2018

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:

- 1 Self-Regulatory Organization
- 52 U.S. states and territories

This broker has passed:

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

Registration History

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

- B KGS-ALPHA CAPITAL MARKETS, L.P.**
 CRD# 151705
 NEW YORK, NY
 05/2010 - 09/2018
- B MILLER TABAK ROBERTS SECURITIES, LLC**
 CRD# 41025
 NEW YORK, NY
 05/2009 - 05/2010
- B PIPER JAFFRAY & CO.**
 CRD# 665
 NEW YORK, NY
 05/2005 - 09/2008

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? **No**



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 1 SRO and is licensed in 52 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **BMO CAPITAL MARKETS CORP.**

Main Office Address: **151 WEST 42ND STREET
NEW YORK, NY 10036**

Firm CRD#: **16686**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	09/01/2018
B	Alaska	Agent	Approved	09/01/2018
B	Arizona	Agent	Approved	09/01/2018
B	Arkansas	Agent	Approved	09/01/2018
B	California	Agent	Approved	09/01/2018
B	Colorado	Agent	Approved	09/01/2018
B	Connecticut	Agent	Approved	09/01/2018
B	Delaware	Agent	Approved	09/01/2018
B	District of Columbia	Agent	Approved	09/01/2018
B	Florida	Agent	Approved	09/01/2018
B	Georgia	Agent	Approved	09/01/2018
B	Hawaii	Agent	Approved	09/01/2018

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Idaho	Agent	Approved	09/01/2018
B	Illinois	Agent	Approved	09/01/2018
B	Indiana	Agent	Approved	09/01/2018
B	Iowa	Agent	Approved	09/01/2018
B	Kansas	Agent	Approved	09/01/2018
B	Kentucky	Agent	Approved	09/01/2018
B	Louisiana	Agent	Approved	09/01/2018
B	Maine	Agent	Approved	09/01/2018
B	Maryland	Agent	Approved	09/01/2018
B	Massachusetts	Agent	Approved	09/01/2018
B	Michigan	Agent	Approved	09/01/2018
B	Minnesota	Agent	Approved	09/01/2018
B	Mississippi	Agent	Approved	09/01/2018
B	Missouri	Agent	Approved	09/01/2018
B	Montana	Agent	Approved	09/01/2018
B	Nebraska	Agent	Approved	09/01/2018
B	Nevada	Agent	Approved	09/01/2018
B	New Hampshire	Agent	Approved	09/01/2018
B	New Jersey	Agent	Approved	09/01/2018
B	New Mexico	Agent	Approved	09/01/2018
B	New York	Agent	Approved	09/01/2018



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	09/01/2018
B	North Dakota	Agent	Approved	09/01/2018
B	Ohio	Agent	Approved	09/01/2018
B	Oklahoma	Agent	Approved	09/01/2018
B	Oregon	Agent	Approved	09/01/2018
B	Pennsylvania	Agent	Approved	09/01/2018
B	Puerto Rico	Agent	Approved	09/01/2018
B	Rhode Island	Agent	Approved	09/01/2018
B	South Carolina	Agent	Approved	09/01/2018
B	South Dakota	Agent	Approved	09/01/2018
B	Texas	Agent	Approved	09/01/2018
B	Utah	Agent	Approved	09/01/2018
B	Vermont	Agent	Approved	09/01/2018
B	Virgin Islands	Agent	Approved	10/02/2018
B	Virginia	Agent	Approved	09/01/2018
B	Washington	Agent	Approved	09/01/2018
B	West Virginia	Agent	Approved	09/01/2018
B	Wisconsin	Agent	Approved	09/01/2018
B	Wyoming	Agent	Approved	09/01/2018

Branch Office Locations

Broker Qualifications



Employment 1 of 1, continued

BMO CAPITAL MARKETS CORP.

151 West 42nd St
New York, NY 10036



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 1 state securities law exam.

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 Interest Rate Options Examination	Series 5	12/22/1983
B General Securities Representative Examination	Series 7	09/17/1983

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	11/09/1983

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
B 05/2010 - 09/2018	KGS-ALPHA CAPITAL MARKETS, L.P.	151705	NEW YORK, NY
B 05/2009 - 05/2010	MILLER TABAK ROBERTS SECURITIES, LLC	41025	NEW YORK, NY
B 05/2005 - 09/2008	PIPER JAFFRAY & CO.	665	NEW YORK, NY
B 03/2003 - 06/2005	SANDLER, O'NEILL & PARTNERS, L.P.	23328	NEW YORK, NY
B 08/1999 - 03/2003	ABN AMRO INCORPORATED	15776	STAMFORD, CT
B 12/1998 - 08/1999	DESCAP SECURITIES, INC.	14997	NEW YORK, NY
B 08/1992 - 12/1997	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 09/1983 - 09/1990	SALOMON BROTHERS INC.	740	NEW YORK, NY

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
09/2018 - Present	BMO CAPITAL MARKETS CORP.	Mass Transfer	Y	NEW YORK, NY, United States
05/2010 - Present	KGS-ALPHA CAPITAL MARKETS, L.P.	SALES	Y	NEW YORK, 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.

EARL G. RIX TRUSTEE RIX FAMILY REVOCABLE TRUST; NOT INVESTMENT-RELATED; 230 WEST 79TH ST. APT. 124 SOUTH NEW YORK, NY 10024; I RENT OUT THE TOWNHOME AT 301 PARTRIDGE LANE WHEELING IL 60090; TRUSTEE AND SOLE BENEFICIARY OF THE TRUST; JUNE 2, 2014; 2; 0; I RENT OUT THE PROPERTY. I PAY THE TAXES AND INSURANCE ON THE PROPERTY. THE OUTSIDE IS

Registration and Employment History



Other Business Activities, continued

MAINTAINED BY THE ASSOCIATION NOT THE INDIVIDUAL OWNERS.

End of Report



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