

BrokerCheck Report

JACQUELINE MARIE GOODE

CRD# 1292607

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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:
 - 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
 - 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.

**JACQUELINE M. GOODE**

CRD# 1292607

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

B 22V SECURITIES LLC
 GARDEN CITY, NY
 CRD# 327657
 Registered with this firm since: 08/13/2024

B KINGSROCK SECURITIES LLC
 900 THIRD AVENUE - SUITE 100
 NEW YORK, NY 10022
 CRD# 325143
 Registered with this firm since: 09/28/2023

B TERRANOVA CAPITAL EQUITIES, INC
 420 LEXINGTON AVENUE
 Suite 1402
 NEW YORK, NY 10170
 CRD# 45097
 Registered with this firm since: 07/03/2018

B REVA CAPITAL MARKETS LLC
 3 COLUMBUS CIRCLE
 15TH FLOOR
 NEW YORK, NY 10019
 CRD# 105791
 Registered with this firm since: 10/02/2009

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
- 1 U.S. state or territory

This broker has passed:

- 4 Principal/Supervisory Exams
- 6 General Industry/Product Exams
- 3 State Securities Law Exams

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

- B RAFFERTY CAPITAL MARKETS, LLC**
 CRD# 23682
 GARDEN CITY, NY
 09/2021 - 02/2024
- IA CAIRN CAPITAL NORTH AMERICA INC.**
 CRD# 156809
 STAMFORD, CT
 05/2011 - 07/2018
- B ASL CAPITAL MARKETS INC.**
 CRD# 286115
 STAMFORD, CT
 06/2017 - 05/2018

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 1 U.S. state or territory through his or her employer.

Employment 1 of 4

Firm Name: **22V SECURITIES LLC**

Main Office Address: **15 ROCKAWAY AVENUE
GARDEN CITY, NY 11530**

Firm CRD#: **327657**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	08/13/2024
B	FINRA	Financial and Operations Principal	Approved	08/13/2024
B	FINRA	General Securities Principal	Approved	08/13/2024
B	FINRA	General Securities Representative	Approved	08/13/2024
B	FINRA	Investment Banking Principal	Approved	08/13/2024
B	FINRA	Investment Banking Representative	Approved	08/13/2024
B	FINRA	Limited Representative-Prvt Scrts Ofngs	Approved	08/13/2024
B	FINRA	Municipal Securities Principal	Approved	08/13/2024
B	FINRA	Municipal Securities Representative	Approved	08/13/2024
B	FINRA	Operations Professional	Approved	08/13/2024

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	11/13/2024

Branch Office Locations

22V SECURITIES LLC



Broker Qualifications

Employment 1 of 4, continued

GARDEN CITY, NY

Employment 2 of 4

Firm Name: **KINGSROCK SECURITIES LLC**

Main Office Address: **900 THIRD AVENUE, SUITE 100
NEW YORK, NY 10022**

Firm CRD#: **325143**

SRO	Category	Status	Date
B FINRA	Compliance Officer	Approved	09/28/2023
B FINRA	Financial and Operations Principal	Approved	09/28/2023
B FINRA	General Securities Principal	Approved	09/28/2023
B FINRA	General Securities Representative	Approved	09/28/2023
B FINRA	Investment Banking Principal	Approved	09/28/2023
B FINRA	Investment Banking Representative	Approved	09/28/2023
B FINRA	Limited Representative-Prvt Scrts Ofngs	Approved	09/28/2023
B FINRA	Municipal Securities Principal	Approved	09/28/2023
B FINRA	Municipal Securities Representative	Approved	09/28/2023
B FINRA	Operations Professional	Approved	09/28/2023

U.S. State/ Territory	Category	Status	Date
B New York	Agent	Approved	11/10/2023

Branch Office Locations

KINGSROCK SECURITIES LLC
900 THIRD AVENUE - SUITE 100
NEW YORK, NY 10022



Broker Qualifications

Employment 2 of 4, continued

Employment 3 of 4

Firm Name: **REVA CAPITAL MARKETS LLC**
 Main Office Address: **3 COLUMBUS CIRCLE
 15TH FLOOR
 NEW YORK, NY 10019**
 Firm CRD#: **105791**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	10/02/2009
B	FINRA	General Securities Principal	Approved	10/02/2009
B	FINRA	General Securities Representative	Approved	10/02/2009
B	FINRA	Municipal Securities Principal	Approved	10/02/2009
B	FINRA	Municipal Securities Representative	Approved	10/02/2009
B	FINRA	Investment Banking Representative	Approved	11/06/2009
B	FINRA	Operations Professional	Approved	10/18/2011
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	09/11/2020

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	10/02/2009

Branch Office Locations

REVA CAPITAL MARKETS LLC
 3 COLUMBUS CIRCLE
 15TH FLOOR
 NEW YORK, NY 10019



Broker Qualifications

Employment 3 of 4, continued

REVA CAPITAL MARKETS LLC

3 COLUMBUS CIRCLE
15TH FLOOR
NEW YORK, NY 10019

Employment 4 of 4

Firm Name: **TERRANOVA CAPITAL EQUITIES, INC**
Main Office Address: **420 LEXINGTON AVENUE
SUITE 1402
NEW YORK, NY 10170**
Firm CRD#: **45097**

SRO	Category	Status	Date
B FINRA	Financial and Operations Principal	Approved	07/03/2018
B FINRA	General Securities Principal	Approved	07/03/2018
B FINRA	General Securities Representative	Approved	07/03/2018
B FINRA	Investment Banking Representative	Approved	07/03/2018
B FINRA	Municipal Securities Principal	Approved	07/03/2018
B FINRA	Municipal Securities Representative	Approved	07/03/2018
B FINRA	Operations Professional	Approved	07/03/2018
B FINRA	Compliance Officer	Approved	10/01/2018
B FINRA	Investment Banking Principal	Approved	10/01/2018

U.S. State/ Territory	Category	Status	Date
B New York	Agent	Approved	07/03/2018

Branch Office Locations

TERRANOVA CAPITAL EQUITIES, INC

Broker Qualifications



Employment 4 of 4, continued

420 LEXINGTON AVENUE
Suite 1402
NEW YORK, NY 10170



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 4 principal/supervisory exams, 6 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Compliance Officer Examination	Series 14	01/02/2023
B Municipal Securities Principal Examination	Series 53	03/04/1994
B General Securities Principal Examination	Series 24	01/27/1994
B Financial and Operations Principal Examination	Series 27	08/25/1988

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Limited Representative-Private Securities Offerings	Series 82TO	01/02/2023
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	04/20/1985

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/25/2006
B Uniform Securities Agent State Law Examination	Series 63	04/27/2004
IA Uniform Investment Adviser Law Examination	Series 65	03/11/1999

Broker Qualifications



Industry Exams this Broker has Passed, continued

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 09/2021 - 02/2024	RAFFERTY CAPITAL MARKETS, LLC	23682	GARDEN CITY, NY
IA 05/2011 - 07/2018	CAIRN CAPITAL NORTH AMERICA INC.	156809	STAMFORD, CT
B 06/2017 - 05/2018	ASL CAPITAL MARKETS INC.	286115	STAMFORD, CT
B 09/2014 - 06/2016	FBV CAPITAL ADVISORS, INC.	151120	NEW YORK, NY
B 12/2013 - 06/2014	MILLINGTON SECURITIES, INC.	147298	RED BANK, NJ
B 07/2008 - 08/2009	SPARTAN CAPITAL SECURITIES, LLC	146251	NEW YORK, NY
IA 11/2006 - 02/2007	S.W. BACH & COMPANY	43522	PORT WASHINGTON, NY
B 11/2005 - 02/2007	S.W. BACH & COMPANY	43522	PORT WASHINGTON, NY
B 03/2004 - 12/2005	MTG, LLC	47788	NEW YORK, NY
B 06/1999 - 04/2003	ORMES CAPITAL MARKETS, INC.	32351	NEW YORK, NY
B 12/1998 - 04/1999	ALEXANDER KALE SECURITIES, INC.	13371	NEW YORK, NY
B 09/1998 - 11/1998	FAIRCHILD FINANCIAL GROUP, INC.	21404	NEW YORK, NY
B 05/1997 - 10/1998	IAR SECURITIES CORP.	5155	NEW YORK, NY
B 03/1997 - 06/1997	MEYERS POLLOCK ROBBINS, INC.	13436	NEW YORK, NY
B 06/1994 - 04/1997	JANSSEN-MEYERS ASSOCIATES, L.P.	34171	NEW YORK, NY
B 01/1994 - 08/1995	JANSSEN-MEYERS CAPITAL GROUP, INC.	29019	NEW YORK, NY
B 05/1992 - 12/1993	J. GREGORY & COMPANY, INC.	14892	
B 07/1990 - 09/1991	GLOBAL CAPITAL SECURITIES, INC.	13358	
B 06/1988 - 06/1989	TOKYO SECURITIES AMERICA INCORPORATED	21773	
B 04/1985 - 08/1986	SHEARSON LEHMAN BROTHERS INC.	7506	

Employment History



Registration and Employment History

Employment History, continued

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
06/2024 - Present	22V SECURITIES LLC	CCO & FINOP	Y	Garden City, NY, United States
09/2023 - Present	KINGSROCK SECURITIES, LLC	COMPLIANCE	Y	NEW YORK, NY, United States
06/2018 - Present	TERRANOVA CAPITAL EQUITIES INC.	COMPLIANCE	Y	NEW YORK, NY, United States
10/2009 - Present	REVA CAPITAL MARKETS, LLC	CCO	Y	NEW YORK, NY, United States
04/2003 - Present	INDEPENDENT CONSULTANT	SECURITIES INDUSTRY CONSULTANT	Y	GARDEN CITY, NY, United States
09/2021 - 02/2024	Rafferty Capital Markets, LLC	FinOp	Y	Garden City, NY, United States
02/2011 - 07/2018	CAIRN CAPITAL NORTH AMERICA INC.	CHIEF COMPLIANCE OFFICER	Y	Stamford, CT, United States
11/2016 - 04/2018	ASL Capital Markets Inc	CCO/FINOP	Y	Stamford, CT, 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.

MEMBER OF SECURITIES CONSULTANTS, LLC ("SC") LOCATED IN GARDEN CITY , NEW YORK. SC PROVIDES VARIOUS CONSULTING SERVICES TO THE SECURITIES INDUSTRY, INCLUDING COMPLIANCE, ACCOUNTING, FINOP and CCO SERVICES, AS WELL AS DIFFERENT PROJECTS RELATE TO BROKER/DEALERS AND INVESTMENT ADVISORS. THE HOURS AND COMPENSATION VARY BY ENGAGEMENT. MS. GOODE WORKS BOTH WITHIN AND OUTSIDE TRADING HOURS AND THE BUSINESS HAS NO CONNECTION TO THE FIRMS WHERE MS. GOODE IS CURRENTLY REGISTERED. THE ROLE AND RESPONSIBILITIES HELD AT ANY OTHER FIRM (ALL INVESTMENT-RELATED) DO NOT POSE A CONFLICT TO MS. GOODE'S ROLE OR RESPONSIBILITIES AT ANY FIRM.

End of Report



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