

BrokerCheck Report

Steve Hamilton

CRD# 1426735

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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.](http://www.finra.org)



Steve Hamilton

CRD# 1426735

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

- IA J.P. MORGAN SECURITIES LLC**
 2400 Lebanon Pike
 Nashville, TN 37214
 CRD# 79
 Registered with this firm since: 10/01/2020
- B J.P. MORGAN SECURITIES LLC**
 2400 Lebanon Pike
 Nashville, TN 37214
 CRD# 79
 Registered with this firm since: 10/01/2020

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:

- 26 Self-Regulatory Organizations
- 1 U.S. state or territory

This broker has passed:

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

Registration History

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

- IA U.S. BANCORP INVESTMENTS, INC.**
 CRD# 17868
 SAINT PAUL, MN
 06/2018 - 07/2020
- B U.S. BANCORP INVESTMENTS, INC.**
 CRD# 17868
 NASHVILLE, TN
 06/2018 - 07/2020
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 NASHVILLE, TN
 10/2014 - 06/2018

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	1



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 26 SROs and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**

Main Office Address: **383 MADISON AVENUE
NEW YORK, NY 10179**

Firm CRD#: **79**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	10/01/2020
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/01/2020
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/01/2020
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	10/01/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/01/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/01/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	10/01/2020
B	FINRA	General Securities Representative	Approved	10/01/2020
B	Investors' Exchange LLC	General Securities Representative	Approved	10/01/2020
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	10/01/2020
B	MEMX LLC	General Securities Representative	Approved	10/01/2020
B	MIAX Emerald, LLC	General Securities Representative	Approved	10/01/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	10/01/2020
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	10/01/2020



Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	NYSE American LLC	General Securities Representative	Approved	10/01/2020
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/01/2020
B	NYSE National, Inc.	General Securities Representative	Approved	10/01/2020
B	NYSE Texas, Inc.	General Securities Representative	Approved	10/01/2020
B	Nasdaq BX, Inc.	General Securities Representative	Approved	10/01/2020
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	10/01/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	10/01/2020
B	Nasdaq MRX, LLC	General Securities Representative	Approved	10/01/2020
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/01/2020
B	Nasdaq Stock Market	General Securities Representative	Approved	10/01/2020
B	New York Stock Exchange	General Securities Representative	Approved	10/01/2020

	U.S. State/ Territory	Category	Status	Date
B	Tennessee	Agent	Approved	10/01/2020
IA	Tennessee	Investment Adviser Representative	Approved	10/01/2020

Branch Office Locations

J.P. MORGAN SECURITIES LLC
 2400 Lebanon Pike
 Nashville, TN 37214



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, 2 general industry/product exams, and 3 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	10/19/1985

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	09/23/2013
IA Uniform Investment Adviser Law Examination	Series 65	04/05/1993
B Uniform Securities Agent State Law Examination	Series 63	10/25/1985

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 06/2018 - 07/2020	U.S. BANCORP INVESTMENTS, INC.	17868	NASHVILLE, TN
B 06/2018 - 07/2020	U.S. BANCORP INVESTMENTS, INC.	17868	NASHVILLE, TN
B 10/2014 - 06/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NASHVILLE, TN
IA 10/2014 - 06/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NASHVILLE, TN
B 10/2013 - 10/2014	INVEST FINANCIAL CORPORATION	12984	MT JULIET, TN
IA 10/2013 - 10/2014	INVEST FINANCIAL CORPORATION	12984	MT JULIET, TN
B 11/2012 - 09/2013	NFP SECURITIES, INC.	42046	ATLANTA, GA
B 01/2011 - 11/2012	HARTFORD EQUITY SALES COMPANY INC.	6604	HARTFORD, CT
B 02/2001 - 10/2010	UBS FINANCIAL SERVICES INC.	8174	NASHVILLE, TN
IA 01/2004 - 11/2006	UBS FINANCIAL SERVICES INC.	8174	NASHVILLE, TN
B 01/1991 - 02/2001	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 11/1985 - 01/1991	J.C. BRADFORD & CO.	1287	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
08/2020 - Present	JPMorgan Chase Bank	Relationship Banker	Y	Nashville, TN, United States
08/2020 - Present	JPMorgan Securities LLC	Registered Rep	Y	Nashville, TN, United States
06/2018 - 07/2020	U.S. BANCORP INVESTMENTS, INC.	FINANCIAL ADVISOR	Y	BRENTWOOD, TN, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2014 - 06/2018	BANK OF AMERICA, N.A.	AVP; FINANCIAL SOLUTIONS ADVISOR	Y	NASHVILLE, TN, United States
10/2014 - 06/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	AVP; FINANCIAL SOLUTIONS ADVISOR	Y	NASHVILLE, TN, 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.

Entity Name: Memories to DVD

Investment related: No

"Address: Nashville TN 37209, www.memoriestodvdonline.com"

Nature of the other business: Media

Position/Title/Relationship: Owner/Partner

Start Date: 01/01/2006

Approximate # of hours a week: 0-10

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: Business that transfers analogue media to digital files.

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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
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4. **There are different statuses and dispositions for disclosure events:**
 - 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.
 - 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	1	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: Firm

Employing firm when activities occurred which led to the complaint: J. C. BRADFORD & CO.

Allegations: CUSTOMER ALLEGES HE PURCHASED \$245,000 US HOME FINANCE CORP 12 1/4% MORTGAGE BACKED BONDS WITH THE UNDERSTANDING FROM REP THAT THE BONDS WERE 100% INSURED WHEN THEY WERE ONLY 30% INSURED. INS. COVERAGE HAS BEEN DEPLETED. DRASTIC DECLINE IN BOND PRICE HAS RESULTED IN LOSS TO CUSTOMER.

Product Type:

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 02/04/1988

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$30,000.00

Individual Contribution Amount: \$0.00

**Firm Statement**

J.C. BRADFORD & CO. HAS ENTERED INTO AN ARRANGEMENT TO COMPENSATE THE CUSTOMER FOR HIS LOSSES, AMOUNTING TO APPROXIMATELY \$30,000 TO DATE. REGARDING THIS BOND PURCHASE, REP WAS ADVISED BY THE FIRM'S BOND DEPT THAT THE BONDS WERE INSURED & ASSUMED THIS MEANT 100% INSURANCE COVERAGE. THE INSURANCE COVERAGE WAS IN FACT ONLY 30% WHICH IN NORMAL CIRCUMSTANCES WOULD HAVE BEEN SUFFICIENT PROTECTION FOR INVESTORS. DUE TO THE SEVERE DECLINE IN THE TEXAS REAL ESTATE MKT. WHERE MOST OF THE MORTGAGES WERE LOCATED, THE INSURANCE COVERAGE WAS DEPLETED CAUSING A DRASTIC DECLINE IN THE BONDS PRICE THE REP DID NOT CONTRIBUTE TO THE SETTLEMENT SINCE THE LOSS AROSE FROM WHAT APPEARS TO BE AN HONEST MISUNDERSTANDING ON HIS PART.

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

J. C. BRADFORD & CO.

Allegations:

THERE WERE NO COMPLAINTS AGAINST ME. THIS CLIENT COMPLAINT WAS DIRECTED AGAINST BRADFORD AND THEIR CORPORATE BOND TRADING DESK. ERRONEOUS DESCRIPTION OF BONDS WAS POSTED BY DESK; CUSTOMER & REP BOTH TOLD THAT BONDS WERE FULLY INSURED AND COLLATERIZED WHEN IN FACT BONDS ONLY 30% INSURED AND COLLATERIZED BY FAILING MORTGAGES. CUSTOMER PURCHASED \$245,000.00 OF THESE BONDS AND SUFFERED DRASTIC DECLINE IN PRINCIPAL SHORTLY THEREAFTER.

Product Type:

Debt-Corporate

Alleged Damages:

\$30,000.00

Alleged Damages Amount Explanation (if amount not exact):

I DON'T KNOW THE EXACT AMOUNT BECAUSE I WAS NOT INVOLVED IN THE SETTLEMENT.

Is this an oral complaint?

Yes



Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/04/1988

Complaint Pending? No

Status: Settled

Status Date: 02/01/1988

Settlement Amount: \$30,000.00

Individual Contribution Amount: \$0.00

Broker Statement

J.C. BRADFORD'S CORPORATE BOND DEPT. EXPRESSED THEIR WILLINGNESS TO CORRECT THIS PROBLEM BY COMPENSATING THE CUSTOMER FOR ANY LOSSES. TO DATE, BRADFORD HAS PARTIALLY PERFORMED IN THIS AGREEMENT. J.C. BRADFORD & CO. ENTERED INTO AN AGREEMENT WITH THE CUSTOMER, [CUSTOMER], TO COMPENSATE FOR HIS LOSSES. BRADFORD CORP. BOND. DEPT. AGREED TO RECTIFY THE SITUATION SINCE IT HAD BEEN THEIR FAULT. AT NO TIME WAS I EVER REPRIMANDED FORMALLY OR INFORMALLY BY EITHER THE CUSTOMER OR J.C. BRADFORD, OR NAMED RESPONSIBLE IN ANY WAY FOR THIS UNFORTUNE OCCURRENCE. I AM ANSWERING "YES" TO QUESTION 22H(1) ON ADVICE OF PRUDENTIAL-BACHE. I INTEND TO PROTEST U-5 FILED BY BRADFORD, DUE TO ITS INACCURATE REPRESENTATION OF FACTS SURROUNDING THIS COMPLAINT.

End of Report



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