BrokerCheck Report

ROBERT GARY KATZ

CRD# 1581162

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.

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.

ROBERT G. KATZ

CRD# 1581162

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

B **JONESTRADING**
3328 Steiner Street
Office #1
San Francisco, CA 94123
CRD# 6888
Registered with this firm since: 02/18/2015

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:

- 2 Self-Regulatory Organizations
- 8 U.S. states and territories

This broker has passed:

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

Registration History

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

B **WEDBUSH SECURITIES INC.**
CRD# 877
SAN FRANCISCO, CA
03/2009 - 02/2015

B **PACIFIC GROWTH EQUITIES, LLC**
CRD# 24835
SAN FRANCISCO, CA
07/1991 - 07/2009

B **VOLPE, WELTY & COMPANY, A CALIFORNIA LIMITED PARTNERSHIP**
CRD# 18329
SAN FRANCISCO, CA
08/1989 - 04/1991

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
Regulatory Event	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 2 SROs and is licensed in 8 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **JONESTRADING**

Main Office Address: **555 SAINT CHARLES DRIVE**
SUITE #200
THOUSAND OAKS, CA 91360

Firm CRD#: **6888**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	02/18/2015
B	FINRA	General Securities Representative	Approved	02/18/2015
B	FINRA	Securities Trader	Approved	01/04/2016
B	FINRA	Securities Trader Principal	Approved	03/10/2016
B	Nasdaq Stock Market	General Securities Principal	Approved	02/18/2015
B	Nasdaq Stock Market	General Securities Representative	Approved	02/18/2015
B	Nasdaq Stock Market	Securities Trader	Approved	01/04/2016
B	Nasdaq Stock Market	Securities Trader Principal	Approved	03/10/2016

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	02/27/2015
B	Florida	Agent	Approved	10/28/2015
B	Illinois	Agent	Approved	11/02/2015
B	Massachusetts	Agent	Approved	02/23/2015
B	New York	Agent	Approved	02/27/2015

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	02/20/2015
B	Texas	Agent	Approved	10/27/2015
B	Utah	Agent	Approved	12/14/2023

Branch Office Locations

JONESTRADING
3328 Steiner Street
Office #1
San Francisco, CA 94123

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 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	06/28/2004

General Industry/Product Exams

	Exam	Category	Date
B	Securities Trader Exam	Series 57TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam	Series 55	03/13/2000
B	General Securities Representative Examination	Series 7	01/17/1987

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	03/26/1987

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	03/2009 - 02/2015	WEDBUSH SECURITIES INC.	877	SAN FRANCISCO, CA
B	07/1991 - 07/2009	PACIFIC GROWTH EQUITIES, LLC	24835	SAN FRANCISCO, CA
B	08/1989 - 04/1991	VOLPE, WELTY & COMPANY, A CALIFORNIA LIMITED PARTNERSHIP	18329	SAN FRANCISCO, CA
B	01/1987 - 01/1989	MONTGOMERY SECURITIES	4357	SAN FRANCISCO, CA

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
02/2015 - Present	JONESTRADING INSTITUTITONAL SERVICES, LLC	SALES TRADER	Y	MILL VALLEY, CA, 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:**
   - 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.
   -
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
Regulatory Event	0	1	0

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	01/23/2007
Docket/Case Number:	SEC ADMIN FILE 3-12543
Employing firm when activity occurred which led to the regulatory action:	PACIFIC GROWTH EQUITIES LLC
Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Allegations:	SEC RELEASE 34-55148, JANUARY 23, 2007: WILLFULLY AIDED AND ABETTED AND CAUSED HIS FIRM TO VIOLATE SECTION 17(A) AND RULE 17A-3 OF THE EXCHANGE ACT:THE SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") DEEMS IT APPROPRIATE AND IN THE PUBLIC INTEREST THAT PUBLIC ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS BE, AND HEREBY ARE, INSTITUTED PURSUANT TO SECTIONS 15(B) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT"), AGAINST ROBERT KATZ ("KATZ"). IN ANTICIPATION OF

THE INSTITUTION OF THESE PROCEEDINGS, RESPONDENT SUBMITTED AN OFFER OF SETTLEMENT (THE "OFFER") WHICH THE COMMISSION HAS DETERMINED TO ACCEPT. AS HEAD TRADER, ROBERT KATZ WAS RESPONSIBLE FOR SOME OF THE INACCURATE TIME STAMPS BY HIS FIRM IN WHICH IT FAILED TO DISCLOSE TRADING PROFITS FACILITATED BY THE USE OF INACCURATE TIME STAMPS ON CERTAIN CUSTOMER ORDER TICKETS. RATHER THAN TIME STAMPING THE TICKET AT THE TIME THE ORDER HAD ORIGINALLY BEEN RECEIVED FROM ITS CUSTOMER, THE FIRM TIME STAMPED ORDER TICKETS ONLY AFTER THE FIRM HAD ACQUIRED (OR SOLD) SHARES IN THE MARKET TO SATISFY CERTAIN CUSTOMERS' ORDERS. THIS PRACTICE CREATED THE APPEARANCE THAT IT WAS SIMULTANEOUSLY FILLING CUSTOMER ORDERS, AND THUS THAT THE FIRM WAS ENGAGED IN TYPICAL MARKET MAKING TRANSACTIONS IN RETURN FOR A MARKUP OR MARKDOWN.

Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/23/2007
Sanctions Ordered:	Cease and Desist/Injunction Censure Monetary/Fine $20,000.00
Other Sanctions Ordered:	

Reporting Source:	Broker
Regulatory Action Initiated By:	SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	CENSURE AND $20,000 FINE
Date Initiated:	09/20/2005
Docket/Case Number:	SF-2881

Employing firm when activity occurred which led to the regulatory action:	PACIFIC GROWTH EQUITIES, LLC
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	ON 09/20/2005 MR. KATZ RECEIVED A "WELLS NOTICE" STATING THE COMMISSION'S INTENTION TO "INSTITUTE PUBLIC ADMINISTRATIVE AND CEASE AND DESIST PROCEEDINGS . . . ALLEGING THAT HE VIOLATED, CAUSED OR AIDED-AND-ABETTED VIOLATIONS OF SECTIONS 10(B) AND 15(C)(1) OF THE SECURITIES AND EXCHANGE ACT OF 1934 AND RULES 10B-5 AND 17A-3(A)(6)AND 17A-3(7) THEREUNDER."
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	01/23/2007
Sanctions Ordered:	Cease and Desist/Injunction Censure Monetary/Fine $20,000.00
Other Sanctions Ordered:	
Sanction Details:	MR. KATZ PAID A CIVIL MONEY PENALTY TO THE UNITED STATES TREASURY IN THE AMOUNTOF $20,000.
Broker Statement	ON JANUARY 23, 2007, WITHOUT ADMITTING OR DENYING THE FINDINGS, MR. KATZ CONSENTED TO THE ENTRY OF AN ORDER INSTITUTING ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS PURSUANT TO SECTIONS 15(B) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934 THAT HE CEASE AND DESIST FROM CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTION 17(A) AND RULE 17A-3 OF THE EXCHANGE ACT. MR. KATZ WAS CENSURED AND PAID A CIVIL MONEY PENALTY TO THE UNITED STATES TREASURY IN THE AMOUNTOF $20,000.

End of Report

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