

BrokerCheck Report

JAY S TWEED

CRD# 1712893

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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.

JAY S. TWEED

CRD# 1712893

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

- B** **TCBI SECURITIES, INC.**
 2000 MCKINNEY AVENUE
 SUITE 700
 DALLAS, TX 75201
 CRD# 313304
 Registered with this firm since: 12/13/2023

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:

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

Registration History

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

- B** **PNC CAPITAL MARKETS LLC**
 CRD# 15647
 Dallas, TX
 10/2021 - 12/2023
- B** **BBVA SECURITIES INC.**
 CRD# 27060
 DALLAS, TX
 06/2014 - 06/2021
- B** **HSBC SECURITIES (USA) INC.**
 CRD# 19585
 NEW YORK CITY, NY
 06/2012 - 01/2014

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 1

Firm Name: **TCBI SECURITIES, INC.**
 Main Office Address: **2000 MCKINNEY AVENUE
 SUITE 700
 DALLAS, TX 75201**
 Firm CRD#: **313304**

	SRO	Category	Status	Date
B	FINRA	Direct Participation Programs	Approved	12/13/2023
B	FINRA	General Securities Representative	Approved	12/13/2023
B	FINRA	Government Securities Principal	Approved	12/13/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	12/13/2023
B	FINRA	Limited Representative-Prvt Scrts Ofngs	Approved	12/13/2023
B	FINRA	Municipal Securities Representative	Approved	12/13/2023
B	FINRA	Operations Professional	Approved	12/13/2023
B	FINRA	Investment Banking Representative	Approved	08/05/2024

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	12/13/2023

Branch Office Locations

TCBI SECURITIES, INC.
 2000 MCKINNEY AVENUE
 SUITE 700

Broker Qualifications



Employment 1 of 1, continued
DALLAS, TX 75201



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, 9 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 Investment Banking Registered Representative Examination	Series 79TO	08/05/2024
B Limited Representative-Private Securities Offerings	Series 82TO	12/13/2023
B Municipal Securities Representative Examination	Series 52TO	12/13/2023
B Operations Professional Examination	Series 99TO	12/13/2023
B Direct Participation Programs Representative Examination	Series 22TO	12/13/2023
B Investment Company Products/Variable Contracts Representative Examination	Series 6TO	12/13/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	06/09/1998
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/05/1987

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	06/12/1998

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at

Broker Qualifications



Industry Exams this Broker has Passed, continued

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 10/2021 - 12/2023	PNC CAPITAL MARKETS LLC	15647	Dallas, TX
B 06/2014 - 06/2021	BBVA SECURITIES INC.	27060	DALLAS, TX
B 06/2012 - 01/2014	HSBC SECURITIES (USA) INC.	19585	NEW YORK CITY, NY
B 10/2008 - 07/2010	J.P. MORGAN SECURITIES INC.	79	DALLAS, TX
B 06/2007 - 10/2008	J.P. MORGAN SECURITIES INC.	18718	DALLAS, TX
B 08/2006 - 05/2007	BANC OF AMERICA SECURITIES LLC	26091	DALLAS, TX
B 12/2004 - 05/2006	CHALLENGER CAPITAL GROUP, LTD.	131992	DALLAS, TX
B 06/1998 - 12/2003	BANC OF AMERICA SECURITIES LLC	26091	NEW YORK, NY
B 08/1987 - 11/1987	FIRST INVESTORS CORPORATION	305	

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
12/2023 - Present	TCBI Securities	Managing Director	Y	Dallas, TX, United States
12/2023 - Present	Texas Capital Bank	Managing Director/ Client Coverage in Corporate and Investment Banking	Y	Dallas, TX, United States
10/2021 - 12/2023	PNC CAPITAL MARKETS	RELATIONSHIP MANAGER SR	Y	DALLAS, TX, United States
06/2014 - 10/2021	BBVA SECURITIES INC.	RELATIONSHIP MANAGER III LRG MM	Y	DALLAS, TX, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
12/2013 - 10/2021	COMPASS BANK	EMPLOYEE	Y	BIRMINGHAM, AL, 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.

Texas Capital Bank; Yes; 2000 McKinney Ave. Suite 1600; Dallas, TX 75201; A commercial bank; Managing Director/ Client coverage in the corporate and investment banking group; Texas Capital Bank often has common clients with TCBI Securities. As a Managing Director with both firms I'm responsible for both corporate banking and investment banking products with these clients. Start date is 12/6/2023. 160 hours per month devoted to Texas Capital Bank; 160 hours per month during securities trading hours; Responsible for obtaining new corporate banking relationships as well as growing and maintaining existing corporate banking relationships.

End of Report



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