

BrokerCheck Report

BETH COHEN ROSENWALD

CRD# 1844501

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 7
Registration and Employment History	9 - 10



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.

**BETH C. ROSENWALD**

CRD# 1844501

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

IA RBC CAPITAL MARKETS, LLC
 2800 QUARRY LAKE DRIVE
 Suite 260
 BALTIMORE, MD 21202
 CRD# 31194
 Registered with this firm since: 03/20/2008

B RBC CAPITAL MARKETS, LLC
 2800 QUARRY LAKE DRIVE
 Suite 260
 BALTIMORE, MD 21202-3751
 CRD# 31194
 Registered with this firm since: 03/20/2008

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:**

- 22 Self-Regulatory Organizations
- 38 U.S. states and territories

This broker has passed:

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

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

- B CITIGROUP GLOBAL MARKETS INC.**
 CRD# 7059
 PIKESVILLE, MD
 02/2006 - 04/2008
- IA CITIGROUP GLOBAL MARKETS INC.**
 CRD# 7059
 NEW YORK, NY
 02/2006 - 04/2008
- IA LEGG MASON WOOD WALKER INC**
 CRD# 6555
 BALTIMORE, MD
 04/1999 - 02/2006

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 22 SROs and is licensed in 38 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Office Address: **200 VESEY ST.
NEW YORK, NY 10281**

Firm CRD#: **31194**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	05/11/2012
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	03/20/2008
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	03/20/2008
B	FINRA	General Securities Representative	Approved	03/20/2008
B	FINRA	General Securities Sales Supervisor	Approved	03/20/2008
B	Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B MEMX LLC	General Securities Representative	Approved	11/01/2020
B MEMX LLC	General Securities Sales Supervisor	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/02/2020
B NYSE American LLC	General Securities Representative	Approved	03/20/2008
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	03/20/2008
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	03/20/2008
B NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq BX, Inc.	General Securities Representative	Approved	01/13/2009
B Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	01/13/2009
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	03/20/2008
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/20/2008
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	03/20/2008
B Nasdaq Stock Market	General Securities Representative	Approved	03/20/2008



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/20/2008
B New York Stock Exchange	General Securities Representative	Approved	03/20/2008
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	09/21/2010
B Arkansas	Agent	Approved	03/25/2014
B California	Agent	Approved	03/20/2008
B Colorado	Agent	Approved	03/20/2008
B Connecticut	Agent	Approved	03/20/2008
B Delaware	Agent	Approved	05/18/2009
B District of Columbia	Agent	Approved	01/29/2025
B Florida	Agent	Approved	03/20/2008
B Georgia	Agent	Approved	03/25/2014
B Idaho	Agent	Approved	01/04/2021
B Illinois	Agent	Approved	02/04/2011
B Iowa	Agent	Approved	08/02/2023
B Louisiana	Agent	Approved	03/25/2014
B Maryland	Agent	Approved	03/20/2008
IA Maryland	Investment Adviser Representative	Approved	03/20/2008
B Massachusetts	Agent	Approved	03/25/2014
B Michigan	Agent	Approved	07/19/2011

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Minnesota	Agent	Approved	03/25/2014
B	Missouri	Agent	Approved	03/20/2008
B	Montana	Agent	Approved	01/05/2022
B	Nevada	Agent	Approved	05/21/2025
B	New Hampshire	Agent	Approved	03/03/2023
B	New Jersey	Agent	Approved	03/20/2008
B	New York	Agent	Approved	03/20/2008
B	North Carolina	Agent	Approved	07/02/2012
B	Ohio	Agent	Approved	03/25/2014
B	Oklahoma	Agent	Approved	05/27/2010
B	Oregon	Agent	Approved	10/12/2023
B	Pennsylvania	Agent	Approved	03/20/2008
B	Rhode Island	Agent	Approved	03/25/2014
B	South Carolina	Agent	Approved	03/20/2008
B	South Dakota	Agent	Approved	08/29/2023
B	Tennessee	Agent	Approved	06/04/2013
B	Texas	Agent	Approved	03/20/2008
IA	Texas	Investment Adviser Representative	Restricted Approval	02/19/2010
B	Utah	Agent	Approved	03/25/2014
B	Vermont	Agent	Approved	03/25/2014
B	Virginia	Agent	Approved	03/20/2008



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Washington	Agent	Approved	03/25/2014
B	Wisconsin	Agent	Approved	09/09/2024

Branch Office Locations

RBC CAPITAL MARKETS, LLC
2800 QUARRY LAKE DRIVE
Suite 260
BALTIMORE, MD 21202-3751

RBC CAPITAL MARKETS, LLC
Baltimore, MD



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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	12/23/2002
B General Securities Sales Supervisor - Options Module Examination	Series 9	10/14/2002

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	07/20/2009
B General Securities Representative Examination	Series 7	06/18/1988

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/05/1999
B Uniform Securities Agent State Law Examination	Series 63	07/28/1988

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 02/2006 - 04/2008	CITIGROUP GLOBAL MARKETS INC.	7059	PIKESVILLE, MD
IA 02/2006 - 04/2008	CITIGROUP GLOBAL MARKETS INC.	7059	PIKESVILLE, MD
IA 04/1999 - 02/2006	LEGG MASON WOOD WALKER INC	6555	PIKESVILL, MD
B 09/1997 - 02/2006	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD
B 03/1989 - 09/1997	FERRIS, BAKER WATTS INCORPORATED	285	BALTIMORE, MD
B 06/1988 - 02/1989	THE STUART-JAMES COMPANY, INCORPORATED	11691	

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
03/2008 - Present	RBC CAPITAL MARKETS, LLC	Registered Representative	Y	BALTIMORE, MD, United States
03/2017 - 01/2025	City National Bank	Employee of an affiliate	Y	Baltimore, MD, 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.

1)RONALD MCDONALD HOUSE CHARITIES OF BALTIMORE; ADDRESS: 635 W LEXINGTON ST BALTIMORE, MD 21201; BUSINESS DESCRIPTION: NOT FOR PROFIT - HOUSING FOR FAMILIES OF CHILDREN RECEIVING TREATMENT AT LOCAL HOSPITALS; NOT INVESTMENT RELATED; START DATE: 06/01/2012; CAPACITY: BOARD OF DIRECTORS; DUTIES: PROVIDING GUIDANCE FOR THE LONG TERM STABILITY OF RMH; HOURS DEVOTED PER WEEK: .50; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 0



Registration and Employment History

Other Business Activities, continued

2) Name of Business: United Way- Women's United

Business Description: Non Profit helping Central Maryland

Business is investment-related: (yes or no)

Address: 1800 Washington Blvd, Suite 340, Baltimore, MD 21230

Capacity: Committee/Council Member (not associated with the Board of Directors)

Start Date: 01/04/19

Duties: Women's United does mentoring and other charitable work around the city.

Hours devoted per month: 1

Hours devoted during securities hours per month: .5

3) Name: Baltimore Leadership School for Young Women

Address: 128 W Franklin St Baltimore, MD 21201

Business Description: Charter School for inner city girls

Business is not investment related

Projected Start Date: 10/01/19

Capacity: Board of Directors *

Duties Performed: Help to make long term decisions on the longevity of the school

Devoted to this OBA per Month: 2

Hours Devoted to this OBA during business hours: 0

4) NAME OF ENTITY: Baltimore Symphony Orchestra Endowment Trust

ADDRESS: 1212 Cathedral Street Baltimore, MD 21201

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Baltimore Symphony Endowment Trust Board

CAPACITY: Board of Directors

START DATE 05/17/2023

DUTIES: Board meets 4 times a year to review the investment policy statement and investments

HOURS DEVOTED PER MONTH: 0.5

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

End of Report



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