

BrokerCheck Report

Michael Alan Schweitzer

CRD# 1940642

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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.



Michael A. Schweitzer

CRD# 1940642

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

- B JANUS HENDERSON DISTRIBUTORS US LLC**
 151 DETROIT STREET
 DENVER, CO 80206
 CRD# 28832
 Registered with this firm since: 11/28/2022

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
- 53 U.S. states and territories

This broker has passed:

- 5 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):

- IA AMERICAN FUNDS DISTRIBUTORS, INC.**
 CRD# 6247
 LOS ANGELES, CA
 01/2017 - 11/2022
- B AMERICAN FUNDS DISTRIBUTORS, INC.**
 CRD# 6247
 Los Angeles, CA
 01/2017 - 11/2022
- B HSBC SECURITIES (USA) INC.**
 CRD# 19585
 NEW YORK CITY, NY
 05/2013 - 12/2016

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 53 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **JANUS HENDERSON DISTRIBUTORS US LLC**

Main Office Address: **151 DETROIT STREET
DENVER, CO 80206-4923**

Firm CRD#: **28832**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	11/28/2022
B	FINRA	General Securities Representative	Approved	11/28/2022
B	FINRA	General Securities Sales Supervisor	Approved	11/28/2022

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	11/28/2022
B	Alaska	Agent	Approved	11/28/2022
B	Arizona	Agent	Approved	11/28/2022
B	Arkansas	Agent	Approved	11/28/2022
B	California	Agent	Approved	11/28/2022
B	Colorado	Agent	Approved	11/28/2022
B	Connecticut	Agent	Approved	11/28/2022
B	Delaware	Agent	Approved	11/28/2022
B	District of Columbia	Agent	Approved	11/28/2022
B	Florida	Agent	Approved	11/28/2022

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	11/28/2022
B	Hawaii	Agent	Approved	11/28/2022
B	Idaho	Agent	Approved	11/28/2022
B	Illinois	Agent	Approved	11/28/2022
B	Indiana	Agent	Approved	11/28/2022
B	Iowa	Agent	Approved	11/28/2022
B	Kansas	Agent	Approved	11/28/2022
B	Kentucky	Agent	Approved	11/28/2022
B	Louisiana	Agent	Approved	11/28/2022
B	Maine	Agent	Approved	11/28/2022
B	Maryland	Agent	Approved	11/28/2022
B	Massachusetts	Agent	Approved	11/28/2022
B	Michigan	Agent	Approved	11/28/2022
B	Minnesota	Agent	Approved	11/28/2022
B	Mississippi	Agent	Approved	11/28/2022
B	Missouri	Agent	Approved	11/28/2022
B	Montana	Agent	Approved	11/28/2022
B	Nebraska	Agent	Approved	11/28/2022
B	Nevada	Agent	Approved	11/28/2022
B	New Hampshire	Agent	Approved	11/28/2022
B	New Jersey	Agent	Approved	11/28/2022

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Mexico	Agent	Approved	11/28/2022
B	New York	Agent	Approved	11/28/2022
B	North Carolina	Agent	Approved	11/28/2022
B	North Dakota	Agent	Approved	11/28/2022
B	Ohio	Agent	Approved	11/29/2022
B	Oklahoma	Agent	Approved	11/28/2022
B	Oregon	Agent	Approved	11/28/2022
B	Pennsylvania	Agent	Approved	11/28/2022
B	Puerto Rico	Agent	Approved	09/13/2024
B	Rhode Island	Agent	Approved	11/28/2022
B	South Carolina	Agent	Approved	11/28/2022
B	South Dakota	Agent	Approved	11/28/2022
B	Tennessee	Agent	Approved	11/28/2022
B	Texas	Agent	Approved	11/28/2022
B	Utah	Agent	Approved	11/28/2022
B	Vermont	Agent	Approved	11/28/2022
B	Virgin Islands	Agent	Approved	09/13/2024
B	Virginia	Agent	Approved	11/28/2022
B	Washington	Agent	Approved	11/28/2022
B	West Virginia	Agent	Approved	11/28/2022
B	Wisconsin	Agent	Approved	11/28/2022

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
<div>B</div> Wyoming	Agent	Approved	11/28/2022

Branch Office Locations

JANUS HENDERSON DISTRIBUTORS US LLC
151 DETROIT STREET
DENVER, CO 80206



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 5 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	01/02/2023
B General Securities Principal Examination	Series 24	01/02/2023
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Principal Sales Supervisor	Series 23	08/15/2008
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	10/05/1994

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	04/07/1997
B General Securities Representative Examination	Series 7	05/20/1989

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/18/1994
B Uniform Securities Agent State Law Examination	Series 63	06/08/1989

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	01/2017 - 11/2022	AMERICAN FUNDS DISTRIBUTORS, INC.	6247	Los Angeles, CA
B	01/2017 - 11/2022	AMERICAN FUNDS DISTRIBUTORS, INC.	6247	Los Angeles, CA
B	05/2013 - 12/2016	HSBC SECURITIES (USA) INC.	19585	NEW YORK CITY, NY
IA	04/2013 - 12/2016	HSBC SECURITIES (USA) INC.	19585	CANARY WHARF, United Kingdom
IA	09/2003 - 07/2012	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ
B	09/2003 - 07/2012	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ
IA	05/1999 - 09/2003	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	BEVERLY HILLS, CA
B	05/1989 - 09/2003	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	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
11/2022 - Present	Janus Henderson Distributors US LLC	Registered Representative	Y	Denver, CO, United States
11/2022 - Present	Janus Henderson Investors US LLC	Head of Retail Distribution, NA	Y	Denver, CO, United States
12/2016 - 11/2022	American Funds	Sales Director	Y	Los Angeles, CA, United States
08/2012 - 12/2016	HSBC SECURITIES (USA) INC.	GLOBAL HEAD OF SALES	Y	LONDON, United Kingdom

Registration and Employment History



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.

Name of the other business: MEALS, LLC / Is the business Investment Related: NO / The address of the other business: 1571 Halsam Terrace, Los Angeles, CA 90069 / The nature of the other business: Online Home furnishings / Your position/title: Member (I will not have any day to day responsibilities. This is my spouses business but by definition I will own 50%) / Start date: 9/1/20 / The number of hours/month you devote to the other business: Less than 1 / The number of hours during securities trading hours: 0

Name of outside activity: Campanile Foundation / / Is the business Investment Related: YES / The address of the other business: 5250 Campanile Drive San Diego, CA 92182 / The nature of the other business: Not for profit foundation aligned to SDSU - primarily has oversight responsibility for the investment assets of the university's foundation / Your position/title: Board Member / Start date: 12/6/2018 / The number of hours/month you devote to the other business: Less than 1 / The number of hours during securities trading hours: 0

End of Report



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