

## BrokerCheck Report

**JAMES DIMON**

CRD# 2095352

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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.



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



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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)

**Thank you for using FINRA BrokerCheck.**

**JAMES DIMON**

CRD# 2095352

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

- B J.P. MORGAN SECURITIES LLC**  
383 MADISON AVENUE  
NEW YORK, NY 10179  
CRD# 79  
Registered with this firm since: 10/01/2008

**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:**

- 19 Self-Regulatory Organizations
- 0 U.S. states and territories

**This broker has passed:**

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

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

- B J.P. MORGAN SECURITIES INC.**  
CRD# 18718  
NEW YORK, NY  
02/2006 - 10/2008
- B CHASE INVESTMENT SERVICES CORP.**  
CRD# 25574  
CHICAGO, IL  
07/2005 - 02/2006
- B BANC ONE SECURITIES CORPORATION**  
CRD# 16999  
CHICAGO, IL  
12/2000 - 07/2005

**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
Criminal	4
Civil Event	2
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 19 SROs and is licensed in 0 U.S. states and territories 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 Principal	APPROVED	05/07/2012
B BOX Exchange LLC	General Securities Representative	APPROVED	05/07/2012
B Cboe C2 Exchange, Inc.	General Securities Representative	APPROVED	01/11/2012
B Cboe C2 Exchange, Inc.	General Securities Principal	APPROVED	08/02/2021
B Cboe Exchange, Inc.	General Securities Representative	APPROVED	10/01/2008
B Cboe Exchange, Inc.	General Securities Principal	APPROVED	08/02/2021
B FINRA	General Securities Representative	APPROVED	10/01/2008
B FINRA	General Securities Principal	APPROVED	06/01/2009
B FINRA	Investment Banking Representative	APPROVED	11/05/2009
B FINRA	Investment Banking Principal	APPROVED	10/01/2018
B Investors' Exchange LLC	General Securities Representative	APPROVED	08/30/2016
B Investors' Exchange LLC	General Securities Principal	APPROVED	08/31/2016
B Long-Term Stock Exchange, Inc.	General Securities Principal	APPROVED	04/27/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	APPROVED	04/27/2020
B MEMX LLC	General Securities Principal	APPROVED	02/16/2021



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
B MEMX LLC	General Securities Representative	APPROVED	02/16/2021
B MIAX Emerald, LLC	General Securities Principal	APPROVED	03/19/2019
B MIAX Emerald, LLC	General Securities Representative	APPROVED	03/19/2019
B NYSE American LLC	General Securities Representative	APPROVED	10/01/2008
B NYSE American LLC	General Securities Principal	APPROVED	06/01/2009
B NYSE Arca, Inc.	General Securities Representative	APPROVED	10/01/2008
B NYSE Arca, Inc.	General Securities Principal	APPROVED	06/01/2009
B NYSE Chicago, Inc.	General Securities Principal	APPROVED	01/10/2012
B NYSE Chicago, Inc.	General Securities Representative	APPROVED	01/10/2012
B NYSE National, Inc.	General Securities Principal	APPROVED	05/18/2018
B NYSE National, Inc.	General Securities Representative	APPROVED	05/18/2018
B Nasdaq BX, Inc.	General Securities Principal	APPROVED	09/18/2009
B Nasdaq BX, Inc.	General Securities Representative	APPROVED	09/18/2009
B Nasdaq GEMX, LLC	General Securities Principal	APPROVED	08/02/2013
B Nasdaq GEMX, LLC	General Securities Representative	APPROVED	08/02/2013
B Nasdaq ISE, LLC	General Securities Representative	APPROVED	10/01/2008
B Nasdaq ISE, LLC	General Securities Principal	APPROVED	06/28/2012
B Nasdaq MRX, LLC	General Securities Representative	APPROVED	03/24/2016
B Nasdaq MRX, LLC	General Securities Principal	APPROVED	04/05/2016
B Nasdaq PHLX LLC	General Securities Representative	APPROVED	10/01/2008
B Nasdaq PHLX LLC	General Securities Principal	APPROVED	08/09/2011
B Nasdaq Stock Market	General Securities Representative	APPROVED	10/01/2008



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
<b>B</b> Nasdaq Stock Market	General Securities Principal	APPROVED	06/01/2009
<b>B</b> New York Stock Exchange	General Securities Representative	APPROVED	10/01/2008
<b>B</b> New York Stock Exchange	General Securities Principal	APPROVED	06/26/2010

### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

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## 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.

**This individual has passed 1 principal/supervisory exam, 1 general industry/product exam, and 0 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	10/19/1994

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018

### State Securities Law Exams

Exam	Category	Date
No information reported.		

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/](http://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>B</b> 02/2006 - 10/2008	J.P. MORGAN SECURITIES INC.	18718	NEW YORK, NY
<b>B</b> 07/2005 - 02/2006	CHASE INVESTMENT SERVICES CORP.	25574	CHICAGO, IL
<b>B</b> 12/2000 - 07/2005	BANC ONE SECURITIES CORPORATION	16999	CHICAGO, IL
<b>B</b> 09/1994 - 01/1999	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY
<b>B</b> 11/1997 - 09/1998	SALOMON BROTHERS INC.	740	NEW YORK, NY
<b>B</b> 03/1995 - 10/1996	THE ROBINSON-HUMPHREY COMPANY INC.	723	ATLANTA, GA

### 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
05/2016 - Present	JPMORGAN CHASE BANK, N.A.	CHIEF EXECUTIVE OFFICER	Y	New York, NY, United States
10/2008 - Present	JPMORGAN SECURITIES LLC	EXECUTIVE MANAGEMENT	Y	New York, NY, United States
12/2006 - Present	JPMORGAN CHASE & CO	CHAIRMAN OF THE BOARD	Y	New York, NY, United States
12/2005 - Present	JPMORGAN CHASE & CO	CHIEF EXECUTIVE OFFICER	Y	New York, NY, United States
12/2005 - 01/2018	JPMORGAN CHASE & CO	PRESIDENT	Y	NEW YORK, NY, United States
07/2013 - 05/2016	JPMORGAN CHASE BANK, N.A.	CHAIRMAN EMERITUS	Y	New York, NY, United States
12/2006 - 07/2013	JPMORGAN CHASE BANK, N.A.	CHAIRMAN OF THE BOARD	Y	NEW YORK, NY, United States

## Registration and Employment History



### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
12/2005 - 07/2013	JPMORGAN CHASE BANK	CHIEF EXECUTIVE OFFICER	Y	NEW YORK, NY, 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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o 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.
  - o 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
Criminal	0	4	0
Civil Event	2	0	0
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.

### Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

#### Disclosure 1 of 4

<b>Reporting Source:</b>	Broker
<b>If charge(s) were brought against an organization over which broker exercised control:</b>	
<b>Organization Name:</b>	JPMorgan Chase & Co
<b>Investment Related Business:</b>	
<b>Broker's Position:</b>	Chief Executive Officer
<b>Formal Charges were brought in:</b>	Federal Court
<b>Name of Court:</b>	United States District Court, District of Connecticut
<b>Location of Court:</b>	Hartford, Connecticut
<b>Docket/Case #:</b>	20-CR-175
<b>Charge Date:</b>	09/29/2020
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Wire fraud, in violation of Title 18, United States Code, Section 1343
<b>No of Counts:</b>	2



<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Deferred Prosecution
<b>Disposition of charge:</b>	The charges have been deferred pursuant to a Deferred Prosecution Agreement
<b>Current Status:</b>	Final
<b>Status Date:</b>	09/29/2020
<b>Disposition Date:</b>	09/29/2020
<b>Sentence/Penalty:</b>	~\$920mm penalty was paid on Oct. 9, 2020 and the Firm is required to comply with the obligations set forth in the Deferred Prosecution Agreement for a period of 3 years
<b>Broker Statement</b>	<p>Mr. Dimon is disclosing this matter because, in certain respects unrelated to the underlying conduct, he may be deemed to have exercised control over JPMC which entered into a deferred prosecution agreement with the Dept. of Justice on 9/29/2020 in which it agreed to the filing of a criminal information charging JPMC with two counts of wire fraud and agreed, along with JPMorgan Chase Bank, N.A. and J.P. Morgan Securities LLC, to certain terms and obligations as set forth therein. Under the terms of the DPA, the criminal information will be dismissed after three years, provided that JPMC, JPMorgan Chase Bank, N.A. and J.P. Morgan Securities LLC fully comply with all of their obligations, including payment of a total monetary amount of approximately \$920 million. There are no allegations or facts set forth in the information that refer to Mr. Dimon personally.</p>

#### Disclosure 2 of 4

<b>Reporting Source:</b>	Broker
<b>If charge(s) were brought against an organization over which broker exercised control:</b>	
<b>Organization Name:</b>	JPMORGAN CHASE BANK, N.A.
<b>Investment Related Business:</b>	Yes
<b>Broker's Position:</b>	Chairman of the Board and Chief Executive Officer



**Formal Charges were brought in:** Federal Court

**Name of Court:** UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF NEW YORK

**Location of Court:** MANHATTAN, NY

**Docket/Case #:** 1:14-CR-00007

**Charge Date:** 01/08/2014

**Charge(s) 1 of 2**

**Formal Charge(s)/Description:** FAILURE TO FILE A SUSPICIOUS ACTIVITY REPORT, IN VIOLATION OF TITLE 31, UNITED STATES CODE, SECTIONS 5318(G) AND 5322(A) AND TITLE 12, CODE OF FEDERAL REGULATIONS, SECTION 21.11.

**No of Counts:** 1

**Felony or Misdemeanor:** Felony

**Plea for each charge:** NOT GUILTY

**Disposition of charge:** NOLLE PROSEQUI

**Charge(s) 2 of 2**

**Formal Charge(s)/Description:** FAILURE TO MAINTAIN AN EFFECTIVE ANTI-MONEY LAUNDERING PROGRAM IN VIOLATION OF TITLE 31, UNITED STATES CODE, SECTIONS 5318(H) AND 5322(A) AND TITLE 12, CODE OF FEDERAL REGULATIONS, SECTION 21.21

**No of Counts:** 1

**Felony or Misdemeanor:** Felony

**Plea for each charge:** NOT GUILTY

**Disposition of charge:** NOLLE PROSEQUI

**Current Status:** Final

**Status Date:** 01/29/2016

**Disposition Date:** 01/29/2016

**Sentence/Penalty:** JPMCB PLED NOT GUILTY TO BOTH CHARGES. JPMCB AND THE U.S. ATTORNEY'S OFFICE ENTERED INTO A DEFERRED PROSECUTION AGREEMENT ("AGREEMENT"), WHICH THE DISTRICT COURT APPROVED. PURSUANT TO THE AGREEMENT, THE U.S. ATTORNEY'S OFFICE WILL SEEK DISMISSAL WITH PREJUDICE OF THE INFORMATION IF JPMCB COMPLIES WITH THE TERMS OF THE AGREEMENT. IN THE AGREEMENT,



JPMCB, AMONG OTHER THINGS, 1) ADMITTED AND STIPUATED THAT CERTAIN FACTS WERE TRUE AND ACCURATE; 2) AGREED TO COOPERATE FULLY WITH THE U.S. ATTORNEY'S OFFICE,, THE FEDERAL BUREAU OF INVESTIGATION, AND OTHER GOVERNMENT AGENCIES; 3) AGREED TO COMPLY WITH THE FEDERAL CRIMINAL LAWS OF THE UNITED STATES; AND 4) AGREED TO MAKE A PAYMENT IN THE AMOUNT OF \$1.7 BILLION AS A STIPULATED FORFEITURE AMOUNT. THE PAYMENT WAS MADE ON JANUARY 7, 2014. ON JANUARY 15, 2016 THE SDNY FILED A MOTION SEEKING DISMISSAL OF THE DEFERRED PROSECUTION AGREEMENT. ON JANUARY 29, 2016 NOLLE PROSEQUI FILED AND CHARGES AGAINST THE DEFENDANT DISMISSED WITH PREJUDICE.

### Broker Statement

Mr. Dimon is disclosing this matter because, in certain respects unrelated to the underlying conduct, he may be deemed to have exercised control over JPMC. There are no allegations or facts set forth in the information or plea agreement that refer to Mr. Dimon personally.

### Disclosure 3 of 4

<b>Reporting Source:</b>	Broker
<b>If charge(s) were brought against an organization over which broker exercised control:</b>	
<b>Organization Name:</b>	JPMORGAN CHASE BANK, N.A.
<b>Investment Related Business:</b>	Yes
<b>Broker's Position:</b>	Chief Executive Officer
<b>Formal Charges were brought in:</b>	Foreign Court
<b>Name of Court:</b>	Tribunal correctional, Tribunal de Grande Instance de Paris
<b>Location of Court:</b>	Paris, France
<b>Docket/Case #:</b>	121472093
<b>Charge Date:</b>	11/30/2016
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Complicity in tax fraud under articles 1741, 1742 and 1750 of the French General Tax Code and articles 121-2, 121-6, 121-7 and 121-38 of the French Penal Code
<b>No of Counts:</b>	14



<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Appeal of Charge Successful
<b>Disposition of charge:</b>	Dismissed
<b>Current Status:</b>	Final
<b>Status Date:</b>	09/02/2021
<b>Disposition Date:</b>	09/02/2021
<b>Sentence/Penalty:</b>	Not Applicable
<b>Broker Statement</b>	<p>Pursuant to an appeal by JPMorgan Chase Bank, N.A., on January 29, 2020, the French Supreme Court annulled the referral of charges before the criminal court that had occurred on November 30, 2016. The French Supreme Court's annulment operated as a pretrial dismissal of the criminal referral.</p> <p>Subsequent to the January 2020 annulment, on September 2, 2021, the President of the Paris tribunal judiciaire endorsed an agreement entered into between JPMorgan Chase Bank, N.A. and the Office of the French Parquet National Financier. Under the agreement, which is known as a "convention judiciaire d'interet public" (CJIP), JPMorgan Chase Bank, N.A. agreed to pay a EURO 25 million fine, and will be paid by October 2, 2021, in order to fully conclude its involvement in the proceedings without any charges or criminal referral, admission of liability, civil or criminal plea, and without any trial or adjudication.</p> <p>Mr. Dimon's personal conduct was not the subject of either the initial referral or the subsequent CJIP.</p>

#### Disclosure 4 of 4

<b>Reporting Source:</b>	Broker
<b>If charge(s) were brought against an organization over which broker exercised control:</b>	
<b>Organization Name:</b>	JPMorgan Chase & Co.
<b>Investment Related Business:</b>	Yes
<b>Broker's Position:</b>	Chairman of the Board and Chief Executive Officer
<b>Formal Charges were brought in:</b>	Federal Court



<b>Name of Court:</b>	U.S. District Court, District of Connecticut
<b>Location of Court:</b>	New Haven, Connecticut
<b>Docket/Case #:</b>	3:15-CR-79 (SRU)
<b>Charge Date:</b>	05/20/2015
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	15 U.S.C. § 1, Sherman Act Conspiracy
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Pled guilty
<b>Disposition of charge:</b>	Pled guilty
<b>Current Status:</b>	Final
<b>Status Date:</b>	01/10/2017
<b>Disposition Date:</b>	01/10/2017
<b>Sentence/Penalty:</b>	JPMC entered a guilty plea on May 20, 2015 pursuant to a plea agreement with the DOJ. Under the terms of the plea agreement JPMC has agreed to pay a criminal fine of \$550 million and a mandatory assessment of \$400. JPMC agreed to be subject to probation for 3 years. On January 10, 2017, judgment was entered consistent with the terms of the plea agreement. The fine was paid on January 17, 2017.
<b>Broker Statement</b>	Mr. Dimon is disclosing this matter because, in certain respects unrelated to the underlying conduct, he may be deemed to have exercised control over JPMC. There are no allegations or facts set forth in the information or plea agreement that refer to Mr. Dimon personally.



## Civil - Pending

This type of disclosure event involves a pending civil court action that seeks an injunction in connection with any investment-related activity or alleges a violation of any investment-related statute or regulation.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Initiated By:</b>	Richard Lobevero, Individually and On Behalf of All Others Similarly Situated,
<b>Relief Sought:</b>	Other: Damages
<b>Date Court Action Filed:</b>	11/17/2020
<b>Product Type:</b>	No Product
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	United States District Court, Eastern District of New York
<b>Location of Court:</b>	New York, United States
<b>Docket/Case #:</b>	1:20-cv-05590-EK-RER
<b>Employing firm when activity occurred which led to the action:</b>	JPMorgan Chase & Co.
<b>Allegations:</b>	<p>Plaintiffs allege that, from approximately January 2009 until December 31, 2015, traders at the Company manipulated the prices of precious metals futures and options contracts by engaging in "spoofing" whereby traders placed electronic orders to buy and sell such futures contracts with the intent to cancel those orders before execution. Plaintiffs also allege that, from approximately February 2016 through September 2020 (the "Class Period"), the defendants filed materially false and misleading annual reports on the Form 10-K with the Securities and Exchange Commission ("SEC") by not disclosing the activity that is the subject of the Firm's September 2020 settlement with the Department of Justice, Commodity Futures Trading Commission, and SEC.</p>
<b>Current Status:</b>	Pending
<b>Limitations or Restrictions in Effect During Appeal:</b>	N/A

### Disclosure 2 of 2



**Reporting Source:** Broker  
**Initiated By:** KAUSHAL MEHTA, Individually and on behalf of all others similarly situated  
**Relief Sought:** Other: Damages  
**Date Court Action Filed:** 10/24/2020  
**Product Type:** No Product  
**Type of Court:** Federal Court  
**Name of Court:** United States District Court, Eastern District of New York  
**Location of Court:** New York, United States  
**Docket/Case #:** 1:20-cv-05124  
**Employing firm when activity occurred which led to the action:** JPMorgan Chase & Co.  
**Allegations:** Plaintiffs allege that, from approximately January 2009 until December 31, 2015, traders at the Company manipulated the prices of precious metals futures and options contracts by engaging in "spoofing" whereby traders placed electronic orders to buy and sell such futures contracts with the intent to cancel those orders before execution. Plaintiffs also allege that, from approximately February 2016 through September 2020 (the "Class Period"), the defendants filed materially false and misleading annual reports on the Form 10-K with the Securities and Exchange Commission ("SEC") by not disclosing the activity that is the subject of the Firm's September 2020 settlement with the Department of Justice, Commodity Futures Trading Commission, and SEC.  
**Current Status:** Pending  
**Limitations or Restrictions in Effect During Appeal:** N/A



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 1

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** SALOMON SMITH BARNEY

**Allegations:** CERTAIN CUSTOMERS OF SMITH BARNEY ALLEGED A FAILURE TO SUPERVISE IN A DRAFT AND UNFILED COMPLAINT WHICH ALSO INCLUDED ALLEGATIONS ON BEHALF OF NON-CUSTOMERS. THE AMOUNT OF DAMAGES ALLEGED BY THE CUSTOMERS CANNOT BE DETERMINED FROM THE DRAFT AND UNFILED COMPLAINT.

**Product Type:**

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 05/04/1999

**Complaint Pending?** No

**Status:** Withdrawn

**Status Date:** 05/04/1999

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** THE COMPLAINT AGAINST MR. DIMON WAS VOLUNTARILY WITHDRAWN. THIS MATTER WAS SETTLED BY SALOMON SMITH BARNEY WITH BOTH THE CUSTOMERS AND NON- CUSTOMERS. THE SETTLEMENT AMOUNT ATTRIBUTABLE TO THE CUSTOMERS CANNOT BE DETERMINED BY SALOMON SMITH BARNEY. MR. DIMON IS NOT CONTRIBUTING TO THE SETTLEMENT. MR. DIMON HAD ABSOLUTELY NOTHING TO DO WITH THE FACTS INVOLVED IN THIS MATTER. IT APPEARS THAT HE WAS NAMED IN THE COMPLAINT BECAUSE HE WAS AN EXECUTIVE OFFICER OF



SALOMON SMITH BARNEY AND/OR HE SERVED ON THE FIRM'S OPERATING COMMITTEE. IN ADDITION, CLAIMANT'S COUNSEL HAS CONFIRMED THAT CLAIMANTS HAVE NO CLAIMS AGAINST MR. DIMON.

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** SALOMON SMITH BARNEY

**Allegations:** CERTAIN CUSTOMERS OF SMITH BARNEY ALLEGED A FAILURE TO SUPERVISE IN A DRAFT AND UNFILED COMPLAINT WHICH ALSO INCLUDED ALLEGATIONS ON BEHALF OF NON-CUSTOMERS. THE AMOUNT OF DAMAGES ALLEGED BY THE CUSTOMERS CANNOT BE DETERMINED FROM THE DRAFT AND UNFILED COMPLAINT.

**Product Type:** No Product

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 05/04/1999

**Complaint Pending?** No

**Status:** Withdrawn

**Status Date:** 05/04/1999

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

THE COMPLAINT AGAINST MR. DIMON WAS VOLUNTARILY WITHDRAWN. THIS MATTER WAS SETTLED BY SALOMON SMITH BARNEY WITH BOTH THE CUSTOMERS AND NON- CUSTOMERS. THE SETTLEMENT AMOUNT ATTRIBUTABLE TO THE CUSTOMERS CANNOT BE DETERMINED BY SALOMON SMITH BARNEY. MR. DIMON IS NOT CONTRIBUTING TO THE SETTLEMENT. MR. DIMON HAD ABSOLUTELY NOTHING TO DO WITH THE FACTS INVOLVED IN THIS MATTER. IT APPEARS THAT HE WAS NAMED IN THE COMPLAINT BECAUSE HE WAS AN EXECUTIVE OFFICER OF SALOMON SMITH BARNEY AND/OR HE SERVED ON THE FIRM'S OPERATING COMMITTEE. IN ADDITION, CLAIMANT'S COUNSEL HAS CONFIRMED THAT CLAIMANTS HAVE NO CLAIMS AGAINST MR. DIMON.

## End of Report



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