

## BrokerCheck Report

### PAUL DANIEL COMCOWICH

CRD# 2310948

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 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](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).

## PAUL D. COMCOWICH

CRD# 2310948

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

**IA RBC CAPITAL MARKETS, LLC**

5310 KIETZKE LANE  
SUITE 201  
RENO, NV 89511  
CRD# 31194  
Registered with this firm since: 10/16/2019

**B RBC CAPITAL MARKETS, LLC**

5310 KIETZKE LANE  
SUITE 201  
RENO, NV 89511-2044  
CRD# 31194  
Registered with this firm since: 10/16/2019

## 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
- 18 U.S. states and territories

**This broker has passed:**

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

### 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**

### Registration History

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

**B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

CRD# 7691  
RENO, NV  
10/2009 - 10/2019

**IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

CRD# 7691  
NEW YORK, NY  
10/2009 - 10/2019

**IA BANC OF AMERICA INVESTMENT SERVICES, INC.**

CRD# 16361  
BOSTON, MA  
05/2008 - 10/2009

## 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 18 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	10/16/2019
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	10/16/2019
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	10/16/2019
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	10/16/2019
B FINRA	General Securities Representative	Approved	10/16/2019
B FINRA	General Securities Sales Supervisor	Approved	10/16/2019
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	11/01/2020
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	10/16/2019
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/16/2019
B NYSE Arca, Inc.	General Securities Representative	Approved	10/16/2019
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/16/2019
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	10/16/2019
B Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	10/16/2019
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	10/16/2019
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/16/2019
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/16/2019
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	10/16/2019
B Nasdaq Stock Market	General Securities Representative	Approved	10/16/2019

## Broker Qualifications



### Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	10/16/2019
B New York Stock Exchange	General Securities Representative	Approved	10/16/2019
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/16/2019
U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	10/16/2019
B California	Agent	Approved	10/16/2019
B Colorado	Agent	Approved	10/16/2019
B Delaware	Agent	Approved	10/16/2019
B Florida	Agent	Approved	10/16/2019
B Georgia	Agent	Approved	03/22/2021
B Idaho	Agent	Approved	10/16/2019
B Illinois	Agent	Approved	07/28/2021
B Louisiana	Agent	Approved	10/16/2019
B Missouri	Agent	Approved	10/16/2019
B Montana	Agent	Approved	05/06/2022
B Nevada	Agent	Approved	10/16/2019
IA Nevada	Investment Adviser Representative	Approved	11/01/2019
B North Carolina	Agent	Approved	10/16/2019
B Ohio	Agent	Approved	09/22/2020
B Oregon	Agent	Approved	10/16/2019
B Pennsylvania	Agent	Approved	05/16/2025

## Broker Qualifications



### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Texas	Agent	Approved	10/16/2019
IA Texas	Investment Adviser Representative	Approved	10/16/2019
B Washington	Agent	Approved	10/16/2019

### Branch Office Locations

**RBC CAPITAL MARKETS, LLC**  
5310 KIETZKE LANE  
SUITE 201  
RENO, NV 89511-2044

**RBC CAPITAL MARKETS, LLC**  
Reno, NV

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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. 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, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
<span style="color: blue;">B</span> General Securities Sales Supervisor - General Module Examination	Series 10	07/20/2001
<span style="color: blue;">B</span> General Securities Sales Supervisor - Options Module Examination	Series 9	06/25/2001

#### General Industry/Product Exams

Exam	Category	Date
<span style="color: blue;">B</span> Securities Industry Essentials Examination	SIE	10/01/2018
<span style="color: blue;">B</span> General Securities Representative Examination	Series 7	04/05/1993

#### State Securities Law Exams

Exam	Category	Date
<span style="color: blue;">IA</span> Uniform Investment Adviser Law Examination	Series 65	05/22/1997
<span style="color: blue;">B</span> Uniform Securities Agent State Law Examination	Series 63	09/17/1993

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 10/2009 - 10/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	RENO, NV
IA 10/2009 - 10/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	RENO, NV
B 05/2008 - 10/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	RENO, NV
IA 05/2008 - 10/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	RENO, NV
B 05/2007 - 06/2008	CITIGROUP GLOBAL MARKETS INC.	7059	RENO, NV
IA 05/2007 - 06/2008	CITIGROUP GLOBAL MARKETS INC.	7059	RENO, NV
B 08/2003 - 05/2007	CITICORP INVESTMENT SERVICES	23988	LONG ISLAND CITY, NY
IA 08/2003 - 05/2007	CITICORP INVESTMENT SERVICES	23988	RENO, NV
IA 03/1999 - 08/2003	CHARLES SCHWAB & CO., INC.	5393	RENO, NV
B 11/1998 - 08/2003	CHARLES SCHWAB & CO., INC.	5393	WESTLAKE, TX
B 05/1997 - 07/1998	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 09/1996 - 12/1996	JANUS DISTRIBUTORS, INC.	28832	DENVER, CO
B 04/1993 - 06/1995	GABELLI & COMPANY, INC.	7353	RYE, NY

## Employment History



## Registration and Employment History

### Employment History, continued

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
11/2019 - Present	City National Bank	Employee of an affiliate	Y	Reno, NV, United States
10/2019 - Present	RBC Capital Markets, LLC.	Registered Representative	Y	Reno, NV, United States
05/2011 - 10/2019	BANK OF AMERICA, N.A.	Senior Financial Advisor	Y	RENO, NV, United States
10/2009 - 10/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Senior Financial Advisor	Y	RENO, NV, 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.

I)\*63752

For profit or not for profit: For-Profit Organization

Name of outside business organization: HARRISON 601 LLC

Investment related: N

Address of business:

LEADVILLE, Colorado 80461

Nature of business: LLC,

Position, title, association: Limited Partner,

Start date of relationship: 11/8/2012

Number of hours devoted: 15 hour(s) Annually

Number of hours devoted during trading hours: 0

Duties: OWNERSHIP OF A COMMERCIAL BUILDING

2) NAME OF ENTITY: The Leadville Manhattan Project LLC

ADDRESS: 618 Harrison Ave, Leadville, CO 80461

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Property ownership of single building

CAPACITY: Owner - Passive

START DATE: 06/30/2023

DUTIES: My primary role is providing capital for the purchase and refurbishment of the property. I will have limited input in all other areas of

## Registration and Employment History



### Other Business Activities, continued

managing the property.

HOURS DEVOTED PER MONTH: 0.5

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

3) NAME OF ENTITY: Leadville's Bar LLC

ADDRESS: 618 Harrison Ave, Leadville, CO 80416

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Smal Private

START DATE: 12.02.24

CAPACITY: Partner

DUTIES I will have no active role in running or managing the bar. Other than reviewing the profitability of the business I will not be actively engaged in the business.

HOURS DEVOTED PER MONTH: 1

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

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## End of Report



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