BrokerCheck Report

VIVEK MAHAJAN

CRD# 2417802

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.

VIVEK MAHAJAN

CRD# 2417802

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

IA **J.P. MORGAN SECURITIES LLC**
Jupiter, FL
CRD# 79
Registered with this firm since: 09/01/2021

B **J.P. MORGAN SECURITIES LLC**
277 PARK AVENUE
2ND & 3RD FLOOR
NEW YORK, NY 10172
CRD# 79
Registered with this firm since: 01/18/2019

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:

- 26 Self-Regulatory Organizations
- 20 U.S. states and territories

This broker has passed:

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

Registration History

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

B **UBS FINANCIAL SERVICES INC.**
CRD# 8174
NEW YORK, NY
01/2010 - 01/2019

IA **CITIGROUP GLOBAL MARKETS INC.**
CRD# 7059
NEW YORK, NY
05/2007 - 01/2010

B **CITIGROUP GLOBAL MARKETS INC.**
CRD# 7059
BROOKLYN, NY
05/2007 - 01/2010

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
Customer Dispute	3

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 26 SROs and is licensed in 20 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 Representative	Approved	01/18/2019
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	01/18/2019
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	01/18/2019
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/18/2019
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	01/18/2019
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	01/18/2019
B	Cboe Exchange, Inc.	General Securities Representative	Approved	01/18/2019
B	FINRA	General Securities Representative	Approved	01/18/2019
B	Investors' Exchange LLC	General Securities Representative	Approved	01/18/2019
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B	MEMX LLC	General Securities Representative	Approved	02/16/2021
B	MIAX Emerald, LLC	General Securities Representative	Approved	03/20/2019
B	MIAX PEARL, LLC	General Securities Representative	Approved	01/18/2019
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	01/18/2019

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	NYSE American LLC	General Securities Representative	Approved	01/18/2019
B	NYSE Arca, Inc.	General Securities Representative	Approved	01/18/2019
B	NYSE National, Inc.	General Securities Representative	Approved	01/18/2019
B	NYSE Texas, Inc.	General Securities Representative	Approved	01/18/2019
B	Nasdaq BX, Inc.	General Securities Representative	Approved	01/18/2019
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	01/18/2019
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/18/2019
B	Nasdaq MRX, LLC	General Securities Representative	Approved	01/18/2019
B	Nasdaq PHLX LLC	General Securities Representative	Approved	01/18/2019
B	Nasdaq Stock Market	General Securities Representative	Approved	01/18/2019
B	New York Stock Exchange	General Securities Representative	Approved	01/18/2019

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/18/2019
B	Colorado	Agent	Approved	01/25/2019
B	Connecticut	Agent	Approved	09/08/2023
B	Delaware	Agent	Approved	02/07/2019
B	Florida	Agent	Approved	01/28/2019
IA	Florida	Investment Adviser Representative	Approved	09/01/2021
B	Georgia	Agent	Approved	01/24/2019
B	Hawaii	Agent	Approved	04/18/2019
B	Maryland	Agent	Approved	01/22/2019

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Massachusetts	Agent	Approved	01/22/2019
B	Nevada	Agent	Approved	02/01/2019
B	New Hampshire	Agent	Approved	12/10/2021
B	New Jersey	Agent	Approved	01/23/2019
B	New York	Agent	Approved	01/23/2019
IA	New York	Investment Adviser Representative	Approved	09/03/2021
B	North Carolina	Agent	Approved	01/28/2019
B	Ohio	Agent	Approved	08/09/2024
B	Pennsylvania	Agent	Approved	04/09/2019
B	South Carolina	Agent	Approved	01/28/2019
B	Texas	Agent	Approved	01/23/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	09/02/2021
B	Virginia	Agent	Approved	01/22/2019
B	Wisconsin	Agent	Approved	01/23/2019

Branch Office Locations

J.P. MORGAN SECURITIES LLC
277 PARK AVENUE
2ND & 3RD FLOOR
NEW YORK, NY 10172

J.P. MORGAN SECURITIES LLC
Jupiter, FL

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	06/22/1995

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	08/31/2021
IA	Uniform Investment Adviser Law Examination	Series 65	10/11/2004
B	Uniform Securities Agent State Law Examination	Series 63	07/10/1995

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	01/2010 - 01/2019	UBS FINANCIAL SERVICES INC.	8174	NEW YORK, NY
B	05/2007 - 01/2010	CITIGROUP GLOBAL MARKETS INC.	7059	BROOKLYN, NY
IA	05/2007 - 01/2010	CITIGROUP GLOBAL MARKETS INC.	7059	BROOKLYN, NY
IA	12/2004 - 05/2007	CITICORP INVESTMENT SERVICES	23988	BROOKLYN, NY
B	09/1996 - 05/2007	CITICORP INVESTMENT SERVICES	23988	BROOKLYN, NY
B	01/1996 - 09/1996	JOHN HANCOCK DISTRIBUTORS, INC.	468	BOSTON, MA
B	01/1996 - 09/1996	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	5181	BOSTON, MA
B	06/1995 - 12/1995	DICKINSON & CO.	689	DES MOINES, IA

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
01/2019 - Present	JPMORGAN CHASE BANK, N.A.	FINANCIAL ADVISOR - MANAGING DIRECTOR	Y	NEW YORK, NY, United States
01/2019 - Present	JPMORGAN SECURITIES, LLC.	FINANCIAL ADVISOR - MANAGING DIRECTOR	Y	NEW YORK, NY, United States
02/2018 - Present	59 S. ELLIOT PL LLC	PARTIAL OWNER	Y	BROOKLYN, NY, United States
10/2014 - Present	115 FORT GREENE PLACE	OWNER	Y	BROOKLYN, NY, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2007 - Present	42 WILLOW PLACE LLC	PARTIAL OWNER	Y	BROOKLYN, NY, United States
01/2010 - 01/2019	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	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.

Entity Name: 388 clinton ave llc
Investment related: Y
Address: Brooklyn, NY
Nature of the other business: Real Estate
Position/Title/Relationship: Owner/Partner
Start Date: 03/01/2020
Approximate # of hours a month: 0-10
Approximate # of hours during securities trading hours: 0
Briefly describe your duties: member of llc own investment property

Entity Name: 215 clermont avenue, llc
Investment related: Y
Address: Brooklyn, NY
Nature of the other business: Real Estate
Position/Title/Relationship: Owner/Partner
Start Date: 03/01/2021
Approximate # of hours a month: 0-10
Approximate # of hours during securities trading hours: 0
Briefly describe your duties: member of llc owns rental property

Entity Name: 59 s. elliott pl llc
Investment related: Yes
Address: 59 Brooklyn, ny
Nature of the other business: real estate rental
Position/Title/Relationship: Partial Owner
Start Date: 01-Feb-2018
Approximate # of hours a month: 1

Registration and Employment History

Other Business Activities, continued

Approximate # of hours during securities trading hours: 0
Briefly describe your duties: partial owner of llc

Entity Name: 115 fort greene place
Investment related: Yes
Address: 115 Brooklyn, ny
Nature of the other business: real estate rental
Position/Title/Relationship: Owner
Start Date: 01-Oct-2014
Approximate # of hours a month: 1
Approximate # of hours during securities trading hours: 0
Briefly describe your duties: owner of llc

Entity Name: 42 willow place llc
Investment related: Yes
Address: 42 Brooklyn ny
Nature of the other business: Rental property
Position/Title/Relationship: Partial Owner
Start Date: 01-Jan-2007
Approximate # of hours a month: 1
Approximate # of hours during securities trading hours: 0
Briefly describe your duties: partial owner of llc

Effective 1/18/2019 I will be an employee of both JPMorgan Securities and JPMorgan Bank. JPMorgan Bank offers a broad range of products and services nationwide. As an employee of JPMorgan Bank I will be able to offer certain bank products and services, including deposit and credit products.

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
Customer Dispute	0	3	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CGMI
Allegations:	CLAIMANT ALLEGES UNSUITABILITY, MISREPRESENTATION AND NEGLIGENCE IN CONNECTION WITH THE PURCHASE OF PREFERRED STOCK ON OR ABOUT 5/30/2008.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$375,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-00587
Filing date of arbitration/CFTC reparation or civil litigation:	02/25/2013

Customer Complaint Information

Date Complaint Received:	03/07/2013

Complaint Pending?	No
Status:	Settled
Status Date:	05/01/2014
Settlement Amount:	$100,000.00
Individual Contribution Amount:	$0.00
Firm Statement	THIS MATTER WAS SETTLED FOR BUSINESS REASONS AND THERE WAS NO ADMISSION OR FINDING OF GUILT BY THE FIRM OR THE BROKER.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CGMI
Allegations:	CLAIMANT ALLEGES UNSUITABILITY, MISREPRESENTATION AND NEGLIGENCE IN CONNECTION WITH THE PURCHASE OF PREFERRED STOCK ON OR ABOUT 5/30/2008.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$375,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-00587
Filing date of arbitration/CFTC reparation or civil litigation:	02/25/2013

Customer Complaint Information

Date Complaint Received:	03/07/2013
Complaint Pending?	No
Status:	Settled

Status Date:	05/01/2014
Settlement Amount:	$100,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THIS MATTER WAS SETTLED FOR BUSINESS REASONS AND THERE WAS NO ADMISSION OR FINDING OF GUILT BY CITIGROUP OR THE BROKER.

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	EXECUTORS OF ESTATE CLAIM THAT THE INVESTMENT ADVICE RECEIVED FROM THE FA WAS INAPPROPRIATE AND UNSUITABLE FOR THE CLIENT - 6/6/2008.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$211,220.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/22/2010
Complaint Pending?	No
Status:	Denied
Status Date:	01/28/2011
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	CLAIM DENIED

Reporting Source:	Broker

Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	EXECUTORS OF ESTATE CLAIM THAT THE INVESTMENT ADVICE RECEIVED FROM THE FA WAS INAPPROPRIATE AND UNSUITABLE FOR THE CLIENT - 6/6/2008.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$211,220.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/22/2010
Complaint Pending?	No
Status:	Denied
Status Date:	01/28/2011
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLAIM DENIED.

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CITICORP INVESTMENT SERVICES
Allegations:	CLIENT ALLEGES THAT HE WAS MISLEAD [SIC] BY (HIS FINANCIAL EXECUTIVE) TO BRING IN CASH" TO MEET IN A MUTUAL FUND, WHICH WAS NEVER FUNDED.
Product Type:	Mutual Fund(s)
Alleged Damages:	$140,000.00

Customer Complaint Information

Date Complaint Received:	01/30/2006
Complaint Pending?	No
Status:	Denied
Status Date:	07/31/2007
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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