BrokerCheck Report

RACHEL DENISE SORRENTINO

CRD# 2543804

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.
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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.

RACHEL D. SORRENTINO

CRD# 2543804

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

IA **RBC CAPITAL MARKETS, LLC**
ONE CORPORATE CENTER
20 CHURCH STREET, SUITE 2300
HARTFORD, CT 06103
CRD# 31194
Registered with this firm since: 06/07/2022

B **RBC CAPITAL MARKETS, LLC**
ONE CORPORATE CENTER
20 CHURCH STREET, SUITE 2300
HARTFORD, CT 06103-1221
CRD# 31194
Registered with this firm since: 06/07/2022

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:

- 22 Self-Regulatory Organizations
- 1 U.S. state or territory

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 **JANNEY MONTGOMERY SCOTT LLC**
CRD# 463
Westbrook, CT
03/2019 - 06/2022

IA **JANNEY MONTGOMERY SCOTT LLC**
CRD# 463
PHILADELPHIA, PA
03/2019 - 06/2022

IA **COMMONWEALTH FINANCIAL NETWORK**
CRD# 8032
WALTHAM, MA
08/2013 - 03/2019

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 1 U.S. state or territory 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	06/07/2022
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	06/07/2022
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	06/07/2022
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	06/07/2022
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	06/07/2022
B	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	06/07/2022
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	06/07/2022
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	06/07/2022
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	06/07/2022
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	06/07/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	06/07/2022
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	06/07/2022
B	FINRA	General Securities Representative	Approved	06/07/2022
B	FINRA	General Securities Sales Supervisor	Approved	06/07/2022
B	FINRA	Invest. Co and Variable Contracts	Approved	06/07/2022

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Investors' Exchange LLC	General Securities Representative	Approved	06/07/2022
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	06/07/2022
B	MEMX LLC	General Securities Representative	Approved	06/07/2022
B	MEMX LLC	General Securities Sales Supervisor	Approved	06/07/2022
B	MIAX PEARL, LLC	General Securities Representative	Approved	06/07/2022
B	MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	06/07/2022
B	NYSE American LLC	General Securities Representative	Approved	06/07/2022
B	NYSE American LLC	General Securities Sales Supervisor	Approved	06/07/2022
B	NYSE Arca, Inc.	General Securities Representative	Approved	06/07/2022
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	06/07/2022
B	NYSE National, Inc.	General Securities Representative	Approved	06/07/2022
B	NYSE National, Inc.	General Securities Sales Supervisor	Approved	06/07/2022
B	NYSE Texas, Inc.	General Securities Representative	Approved	06/07/2022
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	06/07/2022
B	Nasdaq BX, Inc.	General Securities Representative	Approved	06/07/2022
B	Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	06/07/2022
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	06/07/2022
B	Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	06/07/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	06/07/2022
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	06/07/2022
B	Nasdaq PHLX LLC	General Securities Representative	Approved	06/07/2022
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	06/07/2022

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Nasdaq Stock Market	General Securities Representative	Approved	06/07/2022
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/07/2022
B	New York Stock Exchange	General Securities Representative	Approved	06/07/2022
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	06/07/2022

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	06/07/2022
IA	Connecticut	Investment Adviser Representative	Approved	06/07/2022

Branch Office Locations

RBC CAPITAL MARKETS, LLC
ONE CORPORATE CENTER
20 CHURCH STREET, SUITE 2300
HARTFORD, CT 06103-1221

RBC CAPITAL MARKETS, LLC
Middletown, CT

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	12/03/2021
B	General Securities Sales Supervisor - Options Module Examination	Series 9	12/06/2019

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	09/25/1996
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	10/07/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	01/22/2002
B	Uniform Securities Agent State Law Examination	Series 63	10/02/1996

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	03/2019 - 06/2022	JANNEY MONTGOMERY SCOTT LLC	463	Westbrook, CT
IA	03/2019 - 06/2022	JANNEY MONTGOMERY SCOTT LLC	463	Westbrook, CT
IA	08/2013 - 03/2019	COMMONWEALTH FINANCIAL NETWORK	8032	WALLINGFORD, CT
B	08/2013 - 03/2019	COMMONWEALTH FINANCIAL NETWORK	8032	WALLINGFORD, CT
B	12/2012 - 04/2013	INVEST FINANCIAL CORPORATION	12984	GLASTONBURY, CT
IA	10/2011 - 12/2012	WELLS FARGO ADVISORS, LLC	19616	GLASTONBURY, CT
B	12/2010 - 12/2012	WELLS FARGO ADVISORS, LLC	19616	GLASTONBURY, CT
B	08/2010 - 11/2010	HARTFORD EQUITY SALES COMPANY INC.	6604	HARTFORD, CT
B	07/2006 - 12/2009	METLIFE INVESTORS DISTRIBUTION COMPANY	107622	BLOOMFIELD, CT
B	03/2005 - 07/2006	STATE FARM VP MANAGEMENT CORP.	43036	BLOOMINGTON, IL
B	12/2003 - 08/2004	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
IA	12/2003 - 08/2004	A. G. EDWARDS & SONS, INC.	4	HARTFORD, CT
B	05/2003 - 12/2003	MONY SECURITIES CORPORATION	4386	NEW YORK, NY
IA	04/2002 - 12/2002	PRUDENTIAL SECURITIES INCORPORATED	7471	HARTFORD, CT
B	06/2000 - 12/2002	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B	11/1999 - 06/2000	ADVEST, INC.	10	HARTFORD, CT
B	02/1997 - 11/1999	ALLMERICA INVESTMENTS, INC.	3960	WORCESTER, MA
B	09/1996 - 12/1996	CIGNA FINANCIAL SERVICES, INC.	40596	HARTFORD, CT
B	10/1994 - 12/1995	PHOENIX EQUITY PLANNING CORPORATION	3036	HARTFORD, CT

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
05/2022 - Present	RBC CAPITAL MARKETS, LLC	REGISTERED REP.	Y	HARTFORD, CT, United States
04/2020 - 05/2022	Janney Montgomery Scott LLC	Senior Registered PCA	Y	Westbrook, CT, United States
03/2019 - 04/2020	Janney Montgomery Scott LLC	Senior Registered PCA	Y	Glastonbury, CT, United States
08/2013 - 03/2019	COMMONWEALTH FINANCIAL NETWORK	REGISTERED STAFF MEMBER	Y	WALTHAM, MA, United States
07/2013 - 03/2019	LOBO & PASCALE WEALTH MANAGEMENT, LLC	OFFICE STAFF MEMBER	Y	WALLINGFORD, CT, 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) Lyft; not investment related; 185 Berry Street #5000, San Francisco, CA 94107; Transportation Services; Driver; start date:11/03/2021; 15 hrs per month/0 during trading day; Driving people to and from places they need to go.
2) Uber; not investment related; 1455 Market Street #400, San Francisco, CA 94103; Transportation Services; Driver; start date: 11/03/2021; 15 hrs per month/0 during trading day; Driving people to and from places they need to go.

End of Report

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