BrokerCheck Report

Laura R Sale

CRD# 2588331

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.

Laura R. Sale

CRD# 2588331

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

IA **J.P. MORGAN SECURITIES LLC**
47 NORTH LONDON
MT. STERLING, OH 43143
CRD# 79
Registered with this firm since: 07/13/2018

B **J.P. MORGAN SECURITIES LLC**
7675 SAWMILL RD
DUBLIN, OH 43016
CRD# 79
Registered with this firm since: 07/13/2018

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
- 53 U.S. states and territories

This broker has passed:

- 3 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 **ADVICE AND PLANNING SERVICES**
CRD# 20472
NEW YORK, NY
08/2005 - 11/2017

B **TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC**
CRD# 20472
DUBLIN, OH
09/1997 - 11/2017

B **STANDARD BROKERAGE SERVICES, INC.**
CRD# 14387
11/1995 - 08/1997

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 26 SROs and is licensed in 53 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	07/13/2018
B	BOX Exchange LLC	General Securities Representative	Approved	07/13/2018
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	08/31/2018
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	10/23/2024
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/23/2024
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	10/23/2024
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/23/2024
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	07/13/2018
B	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	08/31/2018
B	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	08/02/2021
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	10/23/2024
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/23/2024
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	10/23/2024
B	Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	10/23/2024
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/23/2024

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	10/23/2024
B	Cboe Exchange, Inc.	General Securities Representative	Approved	07/13/2018
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	08/31/2018
B	Cboe Exchange, Inc.	General Securities Principal	Approved	08/02/2021
B	FINRA	General Securities Principal	Approved	07/13/2018
B	FINRA	General Securities Representative	Approved	07/13/2018
B	FINRA	General Securities Sales Supervisor	Approved	08/31/2018
B	Investors' Exchange LLC	General Securities Principal	Approved	07/13/2018
B	Investors' Exchange LLC	General Securities Representative	Approved	07/13/2018
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
B	MEMX LLC	General Securities Representative	Approved	02/16/2021
B	MEMX LLC	General Securities Sales Supervisor	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	MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	03/19/2019
B	MIAX PEARL, LLC	General Securities Principal	Approved	10/23/2024
B	MIAX PEARL, LLC	General Securities Representative	Approved	10/23/2024
B	MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	10/23/2024
B	MIAX Sapphire	General Securities Principal	Approved	10/23/2024
B	MIAX Sapphire	General Securities Representative	Approved	10/23/2024

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	MIAX Sapphire	General Securities Sales Supervisor	Approved	10/23/2024
B	Miami International Securities Exchange, LLC	General Securities Principal	Approved	10/23/2024
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	10/23/2024
B	Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	10/23/2024
B	NYSE American LLC	General Securities Principal	Approved	07/13/2018
B	NYSE American LLC	General Securities Representative	Approved	07/13/2018
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Principal	Approved	07/13/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	07/13/2018
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	08/31/2018
B	NYSE National, Inc.	General Securities Principal	Approved	07/13/2018
B	NYSE National, Inc.	General Securities Representative	Approved	07/13/2018
B	NYSE National, Inc.	General Securities Sales Supervisor	Approved	08/31/2018
B	NYSE Texas, Inc.	General Securities Principal	Approved	07/13/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2018
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	03/01/2019
B	Nasdaq BX, Inc.	General Securities Principal	Approved	07/13/2018
B	Nasdaq BX, Inc.	General Securities Representative	Approved	07/13/2018
B	Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	08/31/2018
B	Nasdaq GEMX, LLC	General Securities Principal	Approved	07/13/2018

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	07/13/2018
B	Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq ISE, LLC	General Securities Principal	Approved	07/13/2018
B	Nasdaq ISE, LLC	General Securities Representative	Approved	07/13/2018
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq MRX, LLC	General Securities Principal	Approved	07/13/2018
B	Nasdaq MRX, LLC	General Securities Representative	Approved	07/13/2018
B	Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq PHLX LLC	General Securities Principal	Approved	07/13/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	07/13/2018
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	08/31/2018
B	Nasdaq Stock Market	General Securities Principal	Approved	07/13/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	07/13/2018
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	08/31/2018
B	New York Stock Exchange	General Securities Principal	Approved	07/13/2018
B	New York Stock Exchange	General Securities Representative	Approved	07/13/2018
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/13/2018
B	Alaska	Agent	Approved	07/13/2018
B	Arizona	Agent	Approved	07/13/2018

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Arkansas	Agent	Approved	07/13/2018
B	California	Agent	Approved	07/13/2018
B	Colorado	Agent	Approved	07/13/2018
B	Connecticut	Agent	Approved	07/13/2018
B	Delaware	Agent	Approved	07/13/2018
B	District of Columbia	Agent	Approved	07/13/2018
B	Florida	Agent	Approved	07/13/2018
B	Georgia	Agent	Approved	07/13/2018
B	Hawaii	Agent	Approved	07/13/2018
B	Idaho	Agent	Approved	07/13/2018
B	Illinois	Agent	Approved	07/13/2018
B	Indiana	Agent	Approved	07/13/2018
B	Iowa	Agent	Approved	07/13/2018
B	Kansas	Agent	Approved	07/13/2018
B	Kentucky	Agent	Approved	07/13/2018
B	Louisiana	Agent	Approved	07/13/2018
B	Maine	Agent	Approved	07/13/2018
B	Maryland	Agent	Approved	07/13/2018
B	Massachusetts	Agent	Approved	07/13/2018
B	Michigan	Agent	Approved	07/13/2018
B	Minnesota	Agent	Approved	07/13/2018

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Mississippi	Agent	Approved	07/13/2018
B	Missouri	Agent	Approved	07/13/2018
B	Montana	Agent	Approved	07/13/2018
B	Nebraska	Agent	Approved	07/13/2018
B	Nevada	Agent	Approved	07/13/2018
B	New Hampshire	Agent	Approved	07/13/2018
B	New Jersey	Agent	Approved	07/13/2018
B	New Mexico	Agent	Approved	07/13/2018
B	New York	Agent	Approved	07/13/2018
B	North Carolina	Agent	Approved	07/13/2018
B	North Dakota	Agent	Approved	07/13/2018
B	Ohio	Agent	Approved	07/13/2018
IA	Ohio	Investment Adviser Representative	Approved	07/13/2018
B	Oklahoma	Agent	Approved	07/13/2018
B	Oregon	Agent	Approved	07/13/2018
B	Pennsylvania	Agent	Approved	07/13/2018
B	Puerto Rico	Agent	Approved	07/13/2018
B	Rhode Island	Agent	Approved	07/13/2018
B	South Carolina	Agent	Approved	07/13/2018
B	South Dakota	Agent	Approved	07/13/2018
B	Tennessee	Agent	Approved	07/13/2018

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	07/13/2018
IA	Texas	Investment Adviser Representative	Approved	07/13/2018
B	Utah	Agent	Approved	07/13/2018
B	Vermont	Agent	Approved	07/13/2018
B	Virgin Islands	Agent	Approved	07/13/2018
B	Virginia	Agent	Approved	07/13/2018
B	Washington	Agent	Approved	07/13/2018
B	West Virginia	Agent	Approved	07/13/2018
B	Wisconsin	Agent	Approved	07/13/2018
B	Wyoming	Agent	Approved	07/13/2018

Branch Office Locations

J.P. MORGAN SECURITIES LLC
7675 SAWMILL RD
DUBLIN, OH 43016

J.P. MORGAN SECURITIES LLC
6275 FRANTZ ROAD
DUBLIN, OH 43017

J.P. MORGAN SECURITIES LLC
4066 W. POWELL ROAD
POWELL, OH 43065

J.P. MORGAN SECURITIES LLC
406 WEST FIFTH STREET
MARYSVILLE, OH 43040

J.P. MORGAN SECURITIES LLC
6515 Sawmill Rd

Broker Qualifications

Employment 1 of 1, continued

DUBLIN, OH 43017

J.P. MORGAN SECURITIES LLC
4199 Parkway Ln
HILLIARD, OH 43026

J.P. MORGAN SECURITIES LLC
6271 PERIMETER DRIVE
DUBLIN, OH 43017

J.P. MORGAN SECURITIES LLC
2031 WEST HENDERSON ROAD
COLUMBUS, OH 43220

J.P. MORGAN SECURITIES LLC
7451 SAWMILL PKWY
POWELL, OH 43065

J.P. MORGAN SECURITIES LLC
1111 Polaris Pkwy, 4J
Columbus, OH 43240

J.P. MORGAN SECURITIES LLC
3100 WEST BROAD STREET
COLUMBUS, OH 43204

J.P. MORGAN SECURITIES LLC
5684 W. BROAD ST
GALLOWAY, OH 43119

J.P. MORGAN SECURITIES LLC
1600 HILLIARD ROME RD
HILLIARD, OH 43026

J.P. MORGAN SECURITIES LLC
7370 State Route 161
Plain City, OH 43064

J.P. MORGAN SECURITIES LLC
47 NORTH LONDON
MT. STERLING, OH 43143

J.P. MORGAN SECURITIES LLC
100 EAST MAIN STREET
CIRCLEVILLE, OH 43113

Broker Qualifications

Employment 1 of 1, continued

J.P. MORGAN SECURITIES LLC
2161 STRINGTOWN ROAD
GROVE CITY, OH 43123

J.P. MORGAN SECURITIES LLC
4100 BUCKEYE PKWY
GROVE CITY, OH 43123

J.P. MORGAN SECURITIES LLC
16 N. MAIN STREET
MT GILEAD, OH 43338

J.P. MORGAN SECURITIES LLC
1553 MARION-MOUNT GILEAD ROAD
MARION, OH 43302

J.P. MORGAN SECURITIES LLC
61 NORTH SANDUSKY STREET
DELAWARE, OH 43015

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 3 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	08/31/2018
B	General Securities Sales Supervisor - Options Module Examination	Series 9	08/08/2018
B	General Securities Principal Examination	Series 24	04/05/2007

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	09/27/1995
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	03/03/1995

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	10/03/2005
B	Uniform Securities Agent State Law Examination	Series 63	03/01/1995

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 **1** professional designation(s).

Chartered Financial Consultant

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
IA	08/2005 - 11/2017	ADVICE AND PLANNING SERVICES	20472	DUBLIN, OH
B	09/1997 - 11/2017	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	20472	DUBLIN, OH
B	11/1995 - 08/1997	STANDARD BROKERAGE SERVICES, INC.	14387	
B	03/1995 - 11/1995	ESSEX NATIONAL SECURITIES, INC.	25454	NAPA, CA

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
07/2018 - Present	J.P. Morgan Securities LLC	REGISTERED REPRESENTATIVE	Y	Columbus, OH, United States
07/2018 - Present	JPMORGAN CHASE BANK, N.A.	WORKFORCE MEMBER	Y	Columbus, OH, United States
11/2017 - 07/2018	Unemployment	N/A	N	Dublin, OH, United States
06/2011 - 11/2017	TIAA	Dir, Program Manager II - General	Y	DUBLIN, OH, United States
06/2011 - 11/2017	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	DUBLIN, OH, United States
08/1997 - 11/2017	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	REGISTERED REP	Y	Dublin, OH, 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.

Registration and Employment History

Other Business Activities, continued

No information reported.

End of Report

This page is intentionally left blank.