

## BrokerCheck Report

**LEIGH ANN POGGIO**

CRD# 2660890

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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).

**LEIGH A. POGGIO**

CRD# 2660890

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

- IA GUGGENHEIM PARTNERS INVESTMENT MANAGEMENT, LLC**  
 330 Madison Avenue  
 New York, NY 10017  
 CRD# 137432  
 Registered with this firm since: 05/17/2013
- B GUGGENHEIM FUNDS DISTRIBUTORS, LLC**  
 330 MADISON AVE  
 NEW YORK, NY 10017-5001  
 CRD# 39805  
 Registered with this firm since: 04/16/2015

**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:**

- 1 Self-Regulatory Organization
- 52 U.S. states and territories

**This broker has passed:**

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

**Registration History**

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

- B GUGGENHEIM SECURITIES, LLC**  
 CRD# 40638  
 NEW YORK, NY  
 01/2013 - 04/2015
- B RYDEX DISTRIBUTORS, LLC**  
 CRD# 40805  
 NEW YORK, NY  
 07/2010 - 12/2012
- B XT CAPITAL PARTNERS, LLC**  
 CRD# 118719  
 NEW YORK, NY  
 04/2009 - 08/2009

**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 1 SRO and is licensed in 52 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **GUGGENHEIM FUNDS DISTRIBUTORS, LLC**

Main Office Address: **227 WEST MONROE STREET  
7TH FLOOR  
CHICAGO, IL 60606**

Firm CRD#: **39805**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/16/2015
B	FINRA	General Securities Principal	Approved	09/19/2017

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	04/16/2015
B	Alaska	Agent	Approved	04/20/2015
B	Arizona	Agent	Approved	04/16/2015
B	Arkansas	Agent	Approved	04/16/2015
B	California	Agent	Approved	04/16/2015
B	Colorado	Agent	Approved	04/16/2015
B	Connecticut	Agent	Approved	04/16/2015
B	Delaware	Agent	Approved	04/16/2015
B	District of Columbia	Agent	Approved	04/16/2015
B	Florida	Agent	Approved	04/16/2015
B	Georgia	Agent	Approved	04/16/2015

## Broker Qualifications



### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	04/16/2015
B	Idaho	Agent	Approved	04/16/2015
B	Illinois	Agent	Approved	04/16/2015
B	Indiana	Agent	Approved	04/20/2015
B	Iowa	Agent	Approved	04/16/2015
B	Kansas	Agent	Approved	04/16/2015
B	Kentucky	Agent	Approved	04/16/2015
B	Louisiana	Agent	Approved	04/16/2015
B	Maine	Agent	Approved	04/16/2015
B	Maryland	Agent	Approved	04/16/2015
B	Massachusetts	Agent	Approved	04/20/2015
B	Michigan	Agent	Approved	04/16/2015
B	Minnesota	Agent	Approved	04/16/2015
B	Mississippi	Agent	Approved	04/16/2015
B	Missouri	Agent	Approved	04/16/2015
B	Montana	Agent	Approved	04/16/2015
B	Nebraska	Agent	Approved	04/20/2015
B	Nevada	Agent	Approved	04/20/2015
B	New Hampshire	Agent	Approved	04/16/2015
B	New Jersey	Agent	Approved	04/16/2015
B	New Mexico	Agent	Approved	04/16/2015

## Broker Qualifications



### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	04/16/2015
B	North Carolina	Agent	Approved	04/20/2015
B	North Dakota	Agent	Approved	04/16/2015
B	Ohio	Agent	Approved	04/20/2015
B	Oklahoma	Agent	Approved	04/16/2015
B	Oregon	Agent	Approved	04/20/2015
B	Pennsylvania	Agent	Approved	04/20/2015
B	Puerto Rico	Agent	Approved	04/16/2015
B	Rhode Island	Agent	Approved	04/16/2015
B	South Carolina	Agent	Approved	04/16/2015
B	South Dakota	Agent	Approved	04/16/2015
B	Tennessee	Agent	Approved	04/16/2015
B	Texas	Agent	Approved	04/16/2015
B	Utah	Agent	Approved	04/20/2015
B	Vermont	Agent	Approved	04/16/2015
B	Virginia	Agent	Approved	04/20/2015
B	Washington	Agent	Approved	04/16/2015
B	West Virginia	Agent	Approved	04/20/2015
B	Wisconsin	Agent	Approved	04/16/2015
B	Wyoming	Agent	Approved	04/16/2015



## Broker Qualifications

### Employment 1 of 2, continued

#### Branch Office Locations

**GUGGENHEIM FUNDS DISTRIBUTORS, LLC**

330 MADISON AVE  
NEW YORK, NY 10017-5001

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### Employment 2 of 2

Firm Name: **GUGGENHEIM PARTNERS INVESTMENT MANAGEMENT, LLC**

Main Office Address: **330 MADISON AVENUE  
10TH FLOOR  
NEW YORK, NY 10017**

Firm CRD#: **137432**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	05/17/2013
IA	New York	Investment Adviser Representative	Approved	10/02/2021
IA	Texas	Investment Adviser Representative	Approved	08/23/2013

#### Branch Office Locations

330 Madison Avenue  
New York, NY 10017

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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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	09/19/2017

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	01/24/2013
<b>B</b> General Securities Representative Examination	Series 7	09/23/1999
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	01/08/1996

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	04/22/2013
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/30/1999

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> 01/2013 - 04/2015	GUGGENHEIM SECURITIES, LLC	40638	NEW YORK, NY
<b>B</b> 07/2010 - 12/2012	RYDEX DISTRIBUTORS, LLC	40805	NEW YORK, NY
<b>B</b> 04/2009 - 08/2009	XT CAPITAL PARTNERS, LLC	118719	NEW YORK, NY
<b>B</b> 12/2007 - 12/2008	INVESCO AIM DISTRIBUTORS, INC.	7369	NEW YORK, NY
<b>B</b> 07/2005 - 12/2007	AT INVESTOR SERVICES, INC.	47837	NEW YORK, NY
<b>B</b> 05/2000 - 07/2005	AMVESCAP SERVICES, INC.	14007	ATLANTA, GA
<b>B</b> 06/1999 - 04/2000	THE DREYFUS SERVICE CORPORATION	231	NEW YORK, NY
<b>B</b> 03/1997 - 06/1999	CHARLES SCHWAB & CO., INC.	5393	WESTLAKE, TX
<b>B</b> 10/1997 - 01/1998	NATIONSBANC MONTGOMERY SECURITIES LLC	26091	NEW YORK, NY
<b>B</b> 01/1996 - 10/1997	MONTGOMERY SECURITIES	4357	SAN FRANCISCO, 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
04/2015 - Present	GUGGENHEIM FUNDS DISTRIBUTORS, LLC	ASSOCIATE	Y	CHICAGO, IL, United States
03/2012 - Present	GUGGENHEIM INVESTMENTS	MANAGING DIRECTOR	Y	NEW YORK, NY, United States

## Registration and Employment History



### 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.

320-57 CORPORATION || BOARD MEMBER || RESIDENTIAL BUILDING CO-OP BOARD|| ||320 EAST 57TH STREET, NEW YORK NY 10022 ||  
8/2024 || 2 HRS/MO DEVOTED TO BUSINESS; 0 HRS DURING TRADING HOURS|| NOT INVESTMENT RELATED

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## End of Report



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