

BrokerCheck Report

JEREMY MICHAEL RAYBURN

CRD# 2970106

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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:

- o 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
- o 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.



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

JEREMY M. RAYBURN

CRD# 2970106

Currently employed by and registered with the following Firm(s):**J.P. MORGAN SECURITIES LLC**42 WEST MAIN STREET
SMITHTOWN, NY 11787
CRD# 79

Registered with this firm since: 10/01/2012

J.P. MORGAN SECURITIES LLC2001 NESCONSET HIGHWAY
LAKE GROVE, NY 11755
CRD# 79

Registered with this firm since: 10/01/2012

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:**

- 17 Self-Regulatory Organizations
- 17 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****CHASE INVESTMENT SERVICES CORP.**CRD# 25574
STONY BROOK, NY
05/2009 - 10/2012**AMERIPRISE FINANCIAL SERVICES, INC.**CRD# 6363
EAST MORICHES, NY
08/2001 - 04/2009**IDS LIFE INSURANCE COMPANY**CRD# 6321
MINNEAPOLIS, MN
08/2001 - 07/2006**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	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <https://www.adviserinfo.sec.gov>



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 17 SROs and is licensed in 17 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
FINRA	General Securities Representative	APPROVED	10/01/2012
BOX Exchange LLC	General Securities Representative	APPROVED	10/04/2012
Cboe C2 Exchange, Inc.	General Securities Representative	APPROVED	10/04/2012
Cboe Exchange, Inc.	General Securities Representative	APPROVED	10/04/2012
Investors' Exchange LLC	General Securities Representative	APPROVED	08/30/2016
MIAX Emerald, LLC	General Securities Representative	APPROVED	03/19/2019
NYSE American LLC	General Securities Representative	APPROVED	10/04/2012
NYSE Arca, Inc.	General Securities Representative	APPROVED	10/04/2012
NYSE Chicago, Inc.	General Securities Representative	APPROVED	10/04/2012
NYSE National, Inc.	General Securities Representative	APPROVED	05/18/2018
Nasdaq BX, Inc.	General Securities Representative	APPROVED	10/04/2012
Nasdaq GEMX, LLC	General Securities Representative	APPROVED	08/06/2013
Nasdaq ISE, LLC	General Securities Representative	APPROVED	10/04/2012
Nasdaq MRX, LLC	General Securities Representative	APPROVED	03/24/2016
Nasdaq PHLX LLC	General Securities Representative	APPROVED	10/04/2012
Nasdaq Stock Market	General Securities Representative	APPROVED	10/04/2012
New York Stock Exchange	General Securities Representative	APPROVED	10/04/2012



Broker Qualifications

Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
California	Agent	APPROVED	10/01/2012
Colorado	Agent	APPROVED	11/19/2014
Connecticut	Agent	APPROVED	10/01/2012
Florida	Agent	APPROVED	10/01/2012
Illinois	Agent	APPROVED	10/01/2012
Maryland	Agent	APPROVED	10/01/2012
Massachusetts	Agent	APPROVED	02/28/2014
Nevada	Agent	APPROVED	07/10/2018
New Jersey	Agent	APPROVED	10/01/2012
New York	Agent	APPROVED	10/01/2012
North Carolina	Agent	APPROVED	01/21/2015
Ohio	Agent	APPROVED	10/25/2016
Oregon	Agent	APPROVED	05/19/2014
Pennsylvania	Agent	APPROVED	10/01/2012
Texas	Agent	APPROVED	10/01/2012
Vermont	Agent	APPROVED	10/01/2012
Washington	Agent	APPROVED	05/15/2014

Branch Office Locations

J.P. MORGAN SECURITIES LLC
 2001 NESCONSET HIGHWAY
 LAKE GROVE, NY 11755

J.P. MORGAN SECURITIES LLC
 42 WEST MAIN STREET
 SMITHTOWN, NY 11787



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.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	01/03/2000

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	04/13/2000
Uniform Securities Agent State Law Examination	Series 63	01/14/2000

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
05/2009 - 10/2012	CHASE INVESTMENT SERVICES CORP.	25574	STONY BROOK, NY
08/2001 - 04/2009	AMERIPRISE FINANCIAL SERVICES, INC.	6363	EAST MORICHES, NY
08/2001 - 07/2006	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
09/2000 - 06/2001	PRIME CAPITAL SERVICES, INC.	18334	POUGHKEEPSIE, NY
04/2000 - 08/2000	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ
01/2000 - 03/2000	GAINES, BERLAND INC.	14623	BETHPAGE, NY

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 Dates	Employer Name	Employer Location
11/2017 - Present	RED DEVILS YOUTH HARDBALL INC	Center Moriches, NY
10/2012 - Present	J.P. MORGAN SECURITIES LLC	STONY BROOK, NY
04/2009 - 10/2012	CHASE INVESTMENT SERVICES CORP.	SMITHTOWN, NY
08/2001 - 04/2009	AMERICAN EXPRESS FINANCIAL ADVISORS	ISLANDIA, NY
08/2001 - 04/2009	IDS LIFE INSURANCE COMPANY	ISLANDIA, NY

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.

ACTIVITY TYPE: 4 - OUTSIDE BUSINESS ACTIVITY WITH A NOT-FOR-PROFIT ORGANIZATION
 NAME OF ENTITY: RED DEVILS YOUTH HARDBALL INC.
 POSITION: DIRECTOR

Registration and Employment History



Other Business Activities, continued

START DATE: 11/1/2017

ADDRESS:60, Moriches, NY

DETAILS: TRAVEL BASEBALL ORGANIZATION. THE PURPOSE IS TO DEVELOP CHILDREN INTO FUNDAMENTALLY SOUND BASEBALL PLAYERS AND GREAT CITIZENS.

HOURS DEDICATED (per month unless otherwise indicated): 10 HOURS A WEEK

HOURS DURING TRADING: 0

INVESTMENT RELATED: NO



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	1	1	N/A





Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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 - 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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS INC
Allegations:	THE CLIENT ALLEGES THAT THE INVESTMENT STRATEGIES AND THE USE OF B SHARE INVESTMENTS MAY NOT HAVE BEEN APPROPRIATE CONSIDERING THE SHORT-TERM FINANCIAL NEEDS. THE CLIENT ALLEGES SUBSTANTIAL LOSSES.
Product Type:	Mutual Fund(s)
Other Product Type(s):	NY ANNUITIES
Alleged Damages:	\$5,000.00

Customer Complaint Information

Date Complaint Received:	04/20/2005
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	09/05/2006
Settlement Amount:	



**Individual Contribution
Amount:**

Broker Statement

THE CLIENTS DID NOT RESPOND TO A SETTLEMENT OFFER PRESENTED
BY THE FIRM CONCLUDING A REVIEW OF THEIR ALLEGATIONS.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.P. Morgan Securities LLC
Allegations:	Claimant alleges suitability and misrepresentation regarding municipal bond mutual fund investments. Activity dates 04/15/2015-04/15/2015.
Product Type:	Mutual Fund
Alleged Damages:	\$74,927.40

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-01916
Date Notice/Process Served:	05/15/2018
Arbitration Pending?	Yes

End of Report



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