

## BrokerCheck Report

**Rebecca May Hood**

CRD# 3001520

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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).



## Rebecca M. Hood

CRD# 3001520

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

**IA BNY MELLON SECURITIES CORPORATION**  
500 ROSS STREET  
PITTSBURGH, PA 15262  
CRD# 231  
Registered with this firm since: 12/16/2021

**B PERSHING LLC**  
500 Grant Street  
Pittsburgh, PA 15258  
CRD# 7560  
Registered with this firm since: 07/25/2024

**B BNY MELLON SECURITIES CORPORATION**  
500 ROSS STREET  
PITTSBURGH, PA 15262  
CRD# 231  
Registered with this firm since: 12/16/2021

## 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:**

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

**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 NEWEDGE ADVISORS**  
CRD# 171351  
NEW ORLEANS, LA  
11/2021 - 12/2021
- B NEWEDGE SECURITIES, INC.**  
CRD# 10674  
PITTSBURGH, PA  
04/2021 - 12/2021
- IA MID ATLANTIC FINANCIAL MANAGEMENT, INC.**  
CRD# 109771  
PITTSBURGH, PA  
04/2021 - 11/2021

### 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 20 SROs and is licensed in 1 U.S. state or territory through his or her employer.**

### Employment 1 of 2

Firm Name: **BNY MELLON SECURITIES CORPORATION**

Main Office Address: **240 GREENWICH STREET  
NEW YORK, NY 10286**

Firm CRD#: **231**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	12/16/2021
B	FINRA	General Securities Representative	Approved	12/16/2021

	U.S. State/ Territory	Category	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	12/16/2021
B	Pennsylvania	Agent	Approved	12/17/2021

### Branch Office Locations

**BNY MELLON SECURITIES CORPORATION**  
WEXFORD, PA

**BNY MELLON SECURITIES CORPORATION**  
500 ROSS STREET  
PITTSBURGH, PA 15262

### Employment 2 of 2

Firm Name: **PERSHING LLC**

Main Office Address: **ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399**

Firm CRD#: **7560**

## Broker Qualifications



### Employment 2 of 2, continued

SRO	Category	Status	Date
<b>B</b> BOX Exchange LLC	General Securities Principal	Approved	07/25/2024
<b>B</b> BOX Exchange LLC	General Securities Representative	Approved	07/25/2024
<b>B</b> Cboe C2 Exchange, Inc.	General Securities Principal	Approved	07/25/2024
<b>B</b> Cboe C2 Exchange, Inc.	General Securities Representative	Approved	07/25/2024
<b>B</b> Cboe Exchange, Inc.	General Securities Principal	Approved	07/25/2024
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	07/25/2024
<b>B</b> FINRA	General Securities Principal	Approved	07/25/2024
<b>B</b> FINRA	General Securities Representative	Approved	07/25/2024
<b>B</b> Investors' Exchange LLC	General Securities Principal	Approved	07/25/2024
<b>B</b> Investors' Exchange LLC	General Securities Representative	Approved	07/25/2024
<b>B</b> MIAX Emerald, LLC	General Securities Principal	Approved	07/25/2024
<b>B</b> MIAX Emerald, LLC	General Securities Representative	Approved	07/25/2024
<b>B</b> MIAX PEARL, LLC	General Securities Principal	Approved	07/25/2024
<b>B</b> MIAX PEARL, LLC	General Securities Representative	Approved	07/25/2024
<b>B</b> MIAX Sapphire	General Securities Principal	Approved	09/02/2024
<b>B</b> MIAX Sapphire	General Securities Representative	Approved	09/02/2024
<b>B</b> Miami International Securities Exchange, LLC	General Securities Principal	Approved	07/25/2024
<b>B</b> Miami International Securities Exchange, LLC	General Securities Representative	Approved	07/25/2024
<b>B</b> NYSE American LLC	General Securities Principal	Approved	07/25/2024
<b>B</b> NYSE American LLC	General Securities Representative	Approved	07/25/2024
<b>B</b> NYSE Arca, Inc.	General Securities Principal	Approved	07/25/2024

## Broker Qualifications



### Employment 2 of 2, continued

	SRO	Category	Status	Date
B	NYSE Arca, Inc.	General Securities Representative	Approved	07/25/2024
B	NYSE National, Inc.	General Securities Principal	Approved	07/25/2024
B	NYSE National, Inc.	General Securities Representative	Approved	07/25/2024
B	NYSE Texas, Inc.	General Securities Principal	Approved	07/25/2024
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/25/2024
B	Nasdaq BX, Inc.	General Securities Principal	Approved	07/25/2024
B	Nasdaq BX, Inc.	General Securities Representative	Approved	07/25/2024
B	Nasdaq GEMX, LLC	General Securities Principal	Approved	07/25/2024
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	07/25/2024
B	Nasdaq ISE, LLC	General Securities Principal	Approved	07/25/2024
B	Nasdaq ISE, LLC	General Securities Representative	Approved	07/25/2024
B	Nasdaq MRX, LLC	General Securities Principal	Approved	07/25/2024
B	Nasdaq MRX, LLC	General Securities Representative	Approved	07/25/2024
B	Nasdaq PHLX LLC	General Securities Principal	Approved	07/25/2024
B	Nasdaq PHLX LLC	General Securities Representative	Approved	07/25/2024
B	Nasdaq Stock Market	General Securities Principal	Approved	07/25/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	07/25/2024
B	New York Stock Exchange	General Securities Principal	Approved	07/25/2024
B	New York Stock Exchange	General Securities Representative	Approved	07/25/2024

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	08/12/2024

## Broker Qualifications



### Employment 2 of 2, continued

#### Branch Office Locations

##### **PERSHING LLC**

500 Grant Street  
Pittsburgh, PA 15258

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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 3 principal/supervisory exams, 3 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	04/23/2013
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	10/15/2004
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	08/24/2004

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Limited Representative-Private Securities Offerings	Series 82TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	08/24/2018
<b>B</b> General Securities Representative Examination	Series 7	02/19/1998

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/09/2021
<b>B IA</b> Uniform Combined State Law Examination	Series 66	06/18/2003

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>IA</b> 11/2021 - 12/2021	NEWEDGE ADVISORS	171351	NEW ORLEANS, LA
<b>B</b> 04/2021 - 12/2021	NEWEDGE SECURITIES, INC.	10674	PITTSBURGH, PA
<b>IA</b> 04/2021 - 11/2021	MID ATLANTIC FINANCIAL MANAGEMENT, INC.	109771	PITTSBURGH, PA
<b>IA</b> 03/2021 - 04/2021	CITIZENS INVESTMENT SERVICES	39550	PITTSBURGH, PA
<b>B</b> 03/2021 - 04/2021	CITIZENS SECURITIES, INC.	39550	PITTSBURGH, PA
<b>B</b> 10/2020 - 03/2021	H. BECK, INC.	1763	MCLEAN, VA
<b>IA</b> 09/2020 - 03/2021	H. BECK, INC.	1763	MCLEAN, VA
<b>B</b> 08/2009 - 08/2018	ANTHEM SECURITIES, INC.	42420	PITTSBURGH, PA
<b>IA</b> 05/2006 - 06/2009	AMERIVEST INVESTMENT MANAGEMENT, LLC	111514	PITTSBURGH, PA
<b>IA</b> 06/2003 - 06/2009	TD AMERITRADE, INC.	7870	PITTSBURGH, PA
<b>B</b> 11/2002 - 06/2009	TD AMERITRADE, INC.	7870	PITTSBURGH, PA
<b>B</b> 11/1999 - 10/2002	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY
<b>B</b> 02/1998 - 10/1998	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
<b>B</b> 02/1998 - 10/1998	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

### 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
07/2024 - Present	PERSHING LLC	SPECIALIST, COMPLIANCE & CONTROL	Y	PITTSBURGH, PA, United States
12/2021 - Present	BNY MELLON SECURITIES CORPORATION	SPECIALIST, COMPLIANCE & CONTROL	Y	PITTSBURGH, PA, United States
11/2021 - 12/2021	GOSS ADVISORS	Mass Transfer	Y	NEW ORLEANS, LA, United States
04/2021 - 12/2021	MID ATLANTIC CAPITAL CORPORATION	REGISTERED PRINCIPAL	Y	PITTSBURGH, PA, United States
04/2021 - 12/2021	MID ATLANTIC FINANCIAL MANAGEMENT	REGISTERED PRINCIPAL	Y	PITTSBURGH, PA, United States
03/2021 - 04/2021	Citizens Bank	Premier Advisor	N	Pittsburgh, PA, United States
03/2021 - 04/2021	Citizens Securities, Inc	Premier Advisor	Y	Westwood, MA, United States
05/2011 - 03/2021	Atlas Resources, LLC	Consultant	N	Pittsburgh, PA, United States
08/2020 - 02/2021	H. Beck, Inc.	Registered Representative / Investment Advisor	Y	Rockville, MD, United States
06/2009 - 08/2020	ANTHEM SECURITIES, INC.	DIRECTOR OF INVESTOR SERVICES	Y	MOON TOWNSHIP, PA, 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] Employee at whole foods (grocery store) located at Perry Highway Wexford PA 15090. Working for 12 hours per month since August 2023, no hours devoted to this outside business during securities trading hours.

[2] Compliance Officer of BNY Advisor, marketing compliance reviewing marketing material, located at 500 Ross Street, Pittsburgh, PA 15262.

## Registration and Employment History



### Other Business Activities, continued

Working for 135 hours per month since June 2025, 135 hours per month devoted to business during securities trading hours.

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## End of Report



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