

BrokerCheck Report

Roger G. Brigati

CRD# 3095768

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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



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.

**Roger G. Brigati**

CRD# 3095768

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

IA J.P. MORGAN SECURITIES LLC
 60 VETERANS MEMORIAL HWY
 COMMACK, NY 11725
 CRD# 79
 Registered with this firm since: 10/21/2016

B J.P. MORGAN SECURITIES LLC
 60 VETERANS MEMORIAL HWY
 COMMACK, NY 11725
 CRD# 79
 Registered with this firm since: 10/19/2016

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:

- 27 Self-Regulatory Organizations
- 22 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA HSBC SECURITIES (USA) INC.**
 CRD# 19585
 NEW YORK, NY
 12/2014 - 09/2016
- B HSBC SECURITIES (USA) INC.**
 CRD# 19585
 BOHEMIA, NY
 11/2014 - 09/2016
- IA CITIGROUP GLOBAL MARKETS INC.**
 CRD# 7059
 NEW YORK, NY
 10/2013 - 10/2014

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
Termination	1



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 27 SROs and is licensed in 22 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**

Main Office Address: **270 PARK AVENUE
NEW YORK, NY 10017**

Firm CRD#: **79**

	SRO	Category	Status	Date
B	24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B	BOX Exchange LLC	General Securities Representative	Approved	10/19/2016
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	08/29/2019
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	08/29/2019
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	10/19/2016
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	08/29/2019
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	08/29/2019
B	Cboe Exchange, Inc.	General Securities Representative	Approved	10/19/2016
B	FINRA	General Securities Representative	Approved	10/19/2016
B	Investors' Exchange LLC	General Securities Representative	Approved	10/19/2016
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B	MEMX LLC	General Securities Representative	Approved	02/16/2021
B	MIAX Emerald, LLC	General Securities Representative	Approved	03/22/2019
B	MIAX PEARL, LLC	General Securities Representative	Approved	08/29/2019
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024

Broker Qualifications



Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	08/29/2019
B	NYSE American LLC	General Securities Representative	Approved	10/19/2016
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/19/2016
B	NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	10/19/2016
B	Nasdaq BX, Inc.	General Securities Representative	Approved	10/19/2016
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	10/19/2016
B	Nasdaq ISE, LLC	General Securities Representative	Approved	10/19/2016
B	Nasdaq MRX, LLC	General Securities Representative	Approved	10/19/2016
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/19/2016
B	Nasdaq Stock Market	General Securities Representative	Approved	10/19/2016
B	New York Stock Exchange	General Securities Representative	Approved	10/19/2016

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	08/11/2017
B	California	Agent	Approved	06/21/2021
B	Colorado	Agent	Approved	08/29/2019
B	Connecticut	Agent	Approved	10/20/2016
B	Delaware	Agent	Approved	07/31/2025
B	Florida	Agent	Approved	03/09/2017
B	Georgia	Agent	Approved	10/17/2022



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	02/24/2023
B	Idaho	Agent	Approved	11/27/2020
B	Kentucky	Agent	Approved	12/20/2017
B	Maryland	Agent	Approved	09/26/2022
IA	New Jersey	Investment Adviser Representative	Approved	10/21/2016
B	New Jersey	Agent	Approved	10/31/2016
B	New York	Agent	Approved	10/24/2016
IA	New York	Investment Adviser Representative	Approved	05/03/2021
B	North Carolina	Agent	Approved	10/20/2016
IA	North Carolina	Investment Adviser Representative	Approved	10/21/2016
B	Ohio	Agent	Approved	02/02/2022
B	Pennsylvania	Agent	Approved	11/17/2025
B	Puerto Rico	Agent	Approved	05/27/2021
B	South Carolina	Agent	Approved	07/23/2021
B	Tennessee	Agent	Approved	09/23/2022
B	Texas	Agent	Approved	02/11/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	02/21/2025
B	Vermont	Agent	Approved	09/29/2020
B	Virginia	Agent	Approved	10/28/2021

Branch Office Locations

Broker Qualifications



Employment 1 of 1, continued

J.P. MORGAN SECURITIES LLC

60 VETERANS MEMORIAL HWY

COMMACK, NY 11725



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	11/09/2002

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	04/29/2000
B General Securities Representative Examination	Series 7	03/14/2000

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/30/2012
IA Uniform Investment Adviser Law Examination	Series 65	06/26/2012

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 **2** professional designation(s).

Certified Financial Planner
Chartered Financial Analyst

This representative holds or did hold **2** 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 12/2014 - 09/2016	HSBC SECURITIES (USA) INC.	19585	BOHEMIA, NY
B 11/2014 - 09/2016	HSBC SECURITIES (USA) INC.	19585	BOHEMIA, NY
IA 10/2013 - 10/2014	CITIGROUP GLOBAL MARKETS INC.	7059	HUNTINGTON STATION, NY
B 10/2013 - 10/2014	CITIGROUP GLOBAL MARKETS INC.	7059	HUNTINGTON STATION, NY
IA 06/2012 - 10/2013	MORGAN STANLEY	149777	HAUPPAUGE, NY
B 06/2012 - 10/2013	MORGAN STANLEY	149777	HAUPPAUGE, NY
B 10/2008 - 11/2010	G-2 TRADING,LLC	44018	NEW YORK, NY
B 03/2003 - 10/2007	HOLD BROTHERS ON-LINE INVESTMENT SERVICES L.L.C.	36816	NEW YORK, NY
B 08/2001 - 03/2003	WORLDSCO, L.L.C.	24673	NEW YORK, NY
B 03/2000 - 08/2001	WORLDSCO, L.L.C.	24673	NEW YORK, NY
B 02/2001 - 03/2001	ANDOVER BROKERAGE, L.L.C.	33848	MONTEBELLO, 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	Employer Name	Position	Investment Related	Employer Location
10/2016 - Present	JP MORGAN SECURITIES, LLC	PRIVATE CLIENT ADVISOR	Y	COMMACK, NY, United States
08/2016 - 09/2016	HSBC BANK USA, N.A.	VP PREMIER RELATIONSHIP ADVISOR	Y	EAST SETAUKET, NY, United States

Registration and Employment History



Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2015 - 08/2016	HSBC SECURITIES (USA) INC.	VP PREMIER RELATIONSHIP ADVISOR	Y	EAST SETAUKET, NY, 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.

No information reported.

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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
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4. **There are different statuses and dispositions for disclosure events:**
 - 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.
 - 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
Termination	N/A	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.

Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	CITIGROUP GLOBAL MARKETS INC.
Termination Type:	Permitted to Resign
Termination Date:	10/06/2014
Allegations:	RR WAS PERMITTED TO RESIGN WHEN HE DID NOT ESCALATE A CONCERN ABOUT A DINNER HE ATTENDED HOSTED BY A BANK AFFILIATE THAT WAS SUBMITTED AS A BUSINESS EXPENSE BY A BANK AFFILIATE EMPLOYEE. RR DID NOT SUBMIT AN EXPENSE REPORT HIMSELF AND REIMBURSED THE AFFILIATE FOR HIS PORTION OF THE DINNER.
Product Type:	No Product
Broker Statement	I ATTENDED A DINNER HOSTED AND ORGANIZED BY THE BRANCH MANAGER THAT WAS SUPPOSED TO BE A CLIENT EVENT. NO CLIENTS SHOWED UP AND THE DINNER WAS SUBMITTED BY A BANK AFFILIATE AS A BUSINESS EXPENSE. THE BANK MANAGER SAID THE BUDGET NEEDED TO BE USED OTHERWISE IT WOULD BE REDUCED IN THE FUTURE BY THE AREA DIRECTOR. THERE WAS NO INDICATION THAT THIS EXPENSE WOULD BE ILLEGITIMATE, THEREFORE I DID NOT ESCALATE IT AS AN ISSUE. I WAS PERMITTED TO RESIGN BECAUSE CITI BELIEVED I SHOULD HAVE KNOWN AND ESCALATED THE EXPENSE AS AN ISSUE TO A MANAGER. NO CLIENTS WERE INVOLVED. NO SECURITIES TRANSACTIONS WERE INVOLVED EITHER.

End of Report



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