

# **BrokerCheck Report**

# **JESSE LOUIS BUNICH**

CRD# 4376996

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When communicating online or investing with any professional, make sure you know who you're dealing with. <u>Imposters</u> might link to sites like BrokerCheck from <u>phishing</u> or similar scam websites, or through <u>social media</u>, 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:
  - 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.

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.

www.finra.org/brokercheck
User Guidance

#### **JESSE L. BUNICH**

CRD# 4376996

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

IA RBC CAPITAL MARKETS, LLC

401 Union Street SUITE 3600 SEATTLE, WA 98101 CRD# 31194

Registered with this firm since: 04/26/2022

B RBC CAPITAL MARKETS, LLC

401 Union Street SUITE 3600 SEATTLE, WA 98101 CRD# 31194

Registered with this firm since: 04/26/2022

### **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:

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

#### This broker has passed:

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

#### **Registration History**

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

- B WELLS FARGO CLEARING SERVICES, LLC CRD# 19616 SEATTLE, WA 01/2011 - 05/2022
- WELLS FARGO CLEARING SERVICES, LLC CRD# 19616 ST. LOUIS, MO 01/2011 - 05/2022
- B WELLS FARGO INVESTMENTS, LLC CRD# 10582 BAINBRIDGE ISLAND, WA 09/2008 - 01/2011

#### **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:

Туре	Count
Customer Dispute	3



# 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 22 SROs and is licensed in 20 U.S. states and territories through his or her employer.

# **Employment 1 of 1**

Firm Name: RBC CAPITAL MARKETS, LLC

Main Office Address: 200 VESEY ST.

**NEW YORK, NY 10281** 

Firm CRD#: **31194** 

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	04/26/2022
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	FINRA	General Securities Representative	Approved	04/26/2022
B	Investors' Exchange LLC	General Securities Representative	Approved	04/26/2022
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/26/2022
B	MEMX LLC	General Securities Representative	Approved	04/26/2022
B	MIAX PEARL, LLC	General Securities Representative	Approved	04/26/2022
B	NYSE American LLC	General Securities Representative	Approved	04/26/2022
B	NYSE Arca, Inc.	General Securities Representative	Approved	04/26/2022
B	NYSE National, Inc.	General Securities Representative	Approved	04/26/2022



Em	ployment 1 of 1, continued SRO	Category	Status	Date
В	NYSE Texas, Inc.	General Securities Representative	Approved	04/26/2022
B	Nasdaq BX, Inc.	General Securities Representative	Approved	04/26/2022
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	04/26/2022
В	Nasdaq ISE, LLC	General Securities Representative	Approved	04/26/2022
B	Nasdaq PHLX LLC	General Securities Representative	Approved	04/26/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	04/26/2022
B	New York Stock Exchange	General Securities Representative	Approved	04/26/2022
	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	05/09/2022
B	Arizona	Agent	Approved	04/26/2022
B	California	Agent	Approved	04/26/2022
B	District of Columbia	Agent	Approved	04/26/2022
B	Florida	Agent	Approved	04/26/2022
B	Hawaii	Agent	Approved	04/26/2022
B	Idaho	Agent	Approved	04/26/2022
B	Indiana	Agent	Approved	01/06/2025
B	Minnesota	Agent	Approved	05/13/2022
B	Montana	Agent	Approved	04/26/2022
B	New Mexico	Agent	Approved	02/15/2024

Approved

Approved

Agent

Agent

New York

North Carolina

06/15/2025

02/16/2024



# **Employment 1 of 1, continued**

	U.S. State/ Territory	Category	Status	Date
B	Oregon	Agent	Approved	04/26/2022
B	Pennsylvania	Agent	Approved	06/05/2023
B	Texas	Agent	Approved	04/09/2025
B	Utah	Agent	Approved	02/15/2024
B	Virginia	Agent	Approved	04/26/2022
B	Washington	Agent	Approved	04/26/2022
IA	Washington	Investment Adviser Representative	Approved	04/26/2022
B	Wyoming	Agent	Approved	04/26/2022

### **Branch Office Locations**

RBC CAPITAL MARKETS, LLC 401 Union Street SUITE 3600 SEATTLE, WA 98101

RBC CAPITAL MARKETS, LLC SEATTLE, WA



### **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 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

### **Principal/Supervisory Exams**

Exam	Category	Date
No information re	ted.	

## **General Industry/Product Exams**

Exam		Category	Date
В	Securities Industry Essentials Examination	SIE	10/01/2018
В	Futures Managed Funds Examination	Series 31	05/18/2001
В	General Securities Representative Examination	Series 7	04/17/2001

### **State Securities Law Exams**

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	06/13/2001

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/.

www.finra.org/brokercheck
User Guidance

### **Broker Qualifications**



### **Professional Designations**

This section details that the representative has reported 1 professional designation(s).

#### Certified Financial Planner

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:

Reg	istration Dates	Firm Name	CRD#	Branch Location
B	01/2011 - 05/2022	WELLS FARGO CLEARING SERVICES, LLC	19616	SEATTLE, WA
IA	01/2011 - 05/2022	WELLS FARGO CLEARING SERVICES, LLC	19616	SEATTLE, WA
B	09/2008 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	BAINBRIDGE ISLAND, WA
IA	09/2008 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	BAINBRIDGE ISLAND, WA
B	11/2003 - 10/2008	WAMU INVESTMENTS, INC.	599	BAINBRIDGE ISLAND, WA
IA	11/2003 - 10/2008	WAMU INVESTMENTS, INC.	599	BAINBRIDGE ISLAND, WA
IA	07/2001 - 11/2003	MORGAN STANLEY	7556	BELLEVUE, WA
В	04/2001 - 11/2003	MORGAN STANLEY DW INC.	7556	PURCHASE, 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.

<b>Employment</b>	Employer Name	Position	Investment Related	<b>Employer Location</b>
04/2022 - Present	RBC Capital Markets, LLC	Registered Representative	Υ	Seattle, WA, United States
11/2016 - 04/2022	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Υ	BAINBRIDGE ISLAND, WA, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Υ	BAINBRIDGE ISLAND, WA, 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.

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# **Registration and Employment History**



### Other Business Activities, continued

RENTAL PROPERTY; INVESTMENT RELATED; SEATTLE, WA; 100% OWNERSHIP WITH SPOUSE; START 6/1/2005; 1 HOUR PER MONTH; 0 DURING TRADING; MANAGE TENENTS AND EXPENSES, COLLECT RENT.

RENTAL PROPERTY, INV RELATED, INDIO, CA, 100% OWNERSHIP, START 4/1/2022, 8 HOURS PER MONTH, ZERO HOURS DURING TRADING.

#### **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.
- 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.

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.

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	0	3	N/A



#### **Disclosure Event Details**

When evaluating this information, please keep in mind that a discloure 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 - Settled**

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

**Reporting Source:** Firm

**Employing firm when** 

activities occurred which led

to the complaint:

WAMU INVESTMENTS, INC.

CLIENT ALLEGES REGISTERED REPRESENTATIVE MISREPRESENTED THE

AUCTION RATE SECURITIES SHE PURCHASED IN NOVEMBER, 2006.

**Product Type:** 

Allegations:

**Alleged Damages:** \$0.00

**Customer Complaint Information** 

**Date Complaint Received:** 10/23/2008

**Complaint Pending?** No

Status: Settled

Status Date: 10/23/2008

Settlement Amount: \$50,000,00

Individual Contribution

\$0.00

Amount:

Firm Statement ON SEPTEMBER 12, 2008, WAMU INVESTMENTS AGREED TO A

> SETTLEMENT IN PRINCIPLE WITH THE FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA) WHICH PROVIDED, AMONG OTHER THINGS, THAT THE FIRM WOULD BUY BACK AT PAR CERTAIN AUCTION RATE SECURITIES. AS PART OF THIS SETTLEMENT, WAMU INVESTMENTS, INC., PURCHASED



BACK FROM [CUSTOMER], BLACKROCK PFD INCOME STRATEGIES FUND ARS POSITION AT PAR.

Reporting Source: Broker

Employing firm when activities occurred which led

to the complaint:

WAMU INVESTMENTS, INC.

Allegations: CLIENT ALLEGES REGISTERED REPRESENTATIVE MISREPRESENTED THE

AUCTION RATE SECURITIES SHE PURCHASED IN NOVEMBER 2006.

**Product Type:** 

Alleged Damages: \$0.00

**Customer Complaint Information** 

Date Complaint Received: 10/23/2008

Complaint Pending? No

Status: Settled

**Status Date:** 10/23/2008

Settlement Amount: \$50.000.00

**Individual Contribution** 

Amount:

\$0.00

Broker Statement ON SEPTEMBER 12, 2008, WAMU INVESTMENTS AGREED TO A

SETTLEMENT IN PRINCIPLE WITH THE FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)WHICH PROVIDED, AMONG OTHER THINGS, THAT THE FIRM WOULD BUY BACK AT PAR CERTAIN AUCTION RATE SECURITIES. AS PART OF THIS SETTLEMENT, WAMU INVESTMENTS, INC. PURCHASED BACK FROM [CUSTOMER], BLACKROCK PFD INCOME STRATEGIES FUND ARS POSITION AT PAR.AT THE TIME I RECOMMENDED AUCTION RATE PREFERRED SECURITIES (ARPS) TO [CUSTOMER] IN NOVEMBER 2006, THERE WERE NO LIQUIDITY ISSUES WITH THESE SECURITIES AND THEY WERE RATHER CONSIDERED CASH MANAGEMENT SECURITIES WITH A HIGH AMOUNT OF LIQUIDITY AND STABLE PRINCIPAL. THAT CHANGED WITH THE CREDIT MARKET ISSUES THAT SUBSEQUENTLY OCCURRED AND ARPS EXPERIENCED ILLIQUIDITY ISSUES THAT HAD NEVER BEEN SEEN BEFORE SINCE THEIR CREATION. WHEN [CUSTOMER] ATTEMPTED TO LIQUIDATE HER ARPS, SHE WAS NOT ABLE TO FOR MONTHS LIKE MOST

ARPS HOLDERS.



Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led

WAMU INVESTMENTS, INC.

to the complaint:

Allegations: CLIENT ALLEGES REGISTERED REPRESENTATIVE MISREPRESENTED THE

MUTUAL FUNDS SHE EXCHANGED ON OCTOBER, 2008.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

**Customer Complaint Information** 

Date Complaint Received: 10/07/2008

**Complaint Pending?** No

Status: Settled

 Status Date:
 10/17/2008

 Settlement Amount:
 \$9,519.64

Individual Contribution

**Amount:** 

\$0.00

Firm Statement THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES

FROM THE ALLEGED CONDUCT ARE OVER \$5,000,00.

**Reporting Source:** Broker

Employing firm when activities occurred which led to the complaint:

WAMU INVESTMENTS, INC.

Allegations:

CLIENT ALLEGES REGISTERED REPRESENTATIVE MISREPRESENTED THE MUTUAL FUND SHE EXHANGED ON OCTOBER 2008. THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED

CONDUCT ARE OVER \$5,000.

**Product Type:** Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

**Date Complaint Received:** 10/07/2008



**Complaint Pending?** No

Status: Settled

**Status Date:** 10/17/2008

Settlement Amount: \$9,519.64

**Individual Contribution** 

Amount:

\$0.00

Broker Statement RECEIVED AN INQUIRY ABOUT MOVING THE MONEY IN THE CLIENT'S

MUNICIPAL BOND MUTUAL FUND TO A MONEY MARKET POSITION. THE INQUIRY RELATED TO WHAT THE COST WOULD BE TO WITHDRAW THE MONEY FROM THE MUTUAL AND WHEN THE 1 YR PENALTY PERIOD WAS COMPLETED. IN THE FEW CONVERSATIONS I HAD, THEY ENDED WITH THE WILLINGNESS TO CONTINUE ON WITH THE INVESTMENT IN HOPES THAT THE VALUE WOULD INCREASE BY THE END OF THE PENALTY PERIOD.



#### 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: Firm

Employing firm when activities occurred which led

to the complaint:

WAMU INVESTMENTS, INC.

Allegations: CLIENT ALLEGES REGISTERED REP REINVESTED HIS MATURED UIT IN

AUGUST 2007 WITHOUT CONSENT

Product Type: Unit Investment Trust

Alleged Damages: \$26,157.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation?

No

\$0.00

# **Customer Complaint Information**

**Date Complaint Received:** 10/03/2008

Complaint Pending? No

Status: Denied

**Status Date:** 12/19/2008

Settlement Amount: \$0.00

Individual Contribution

Amount:

Firm Statement

THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES

FROM THE ALLEGED CONDUCT ARE OVER \$5,000.00.

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:

WAMU INVESTMENTS, INC.

Allegations:

CLIENT ALLEGES REGISTERED REPRESENTATIVE REINVESTED HIS MATURED UIT'S IN AUGUST 2007 WITHOUT HIS CONSENT. THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED CONDUCT ARE OVER \$5,000.

**Product Type:** 

Unit Investment Trust

Alleged Damages:

\$26,157.00

Is this an oral complaint?

No

Is this a written complaint?

Yes No

Is this an arbitration/CFTC

reparation or civil litigation?

# **Customer Complaint Information**

**Date Complaint Received:** 10/03/2008

**Complaint Pending?** 

No

Status:

Denied

Status Date:

12/19/2008

**Settlement Amount:** 

**Individual Contribution** 

Amount:

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# **End of Report**



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