

BrokerCheck Report

MITCHELL MORRISSEY

CRD# 4542659

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 10
Registration and Employment History	12



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.

MITCHELL MORRISSEY

CRD# 4542659

Currently employed by and registered with the following Firm(s):**B RBC CAPITAL MARKETS, LLC**200 VESEY ST.
NEW YORK, NY 10281
CRD# 31194

Registered with this firm since: 04/18/2003

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
- 1 U.S. state or territory

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****This broker has passed:**

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

Registration History**This broker was previously registered with the following securities firm(s):****B GRASSO, LOUIS**CRD# 115219
BREWSTER, NY
05/2002 - 02/2003

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 22 SROs and is licensed in 1 U.S. state or territory 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	05/11/2012
B BOX Exchange LLC	General Securities Principal	Approved	08/02/2019
B BOX Exchange LLC	Securities Trader	Approved	11/18/2020
B BOX Exchange LLC	Securities Trader Principal	Approved	09/21/2022
B Cboe BYX Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BYX Exchange, Inc.	Securities Trader	Approved	11/18/2020
B Cboe BYX Exchange, Inc.	Securities Trader Principal	Approved	09/21/2022
B Cboe BZX Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	Securities Trader	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	Securities Trader Principal	Approved	09/21/2022
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	Securities Trader	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	07/06/2021

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B Cboe C2 Exchange, Inc.	Securities Trader Principal	Approved	09/21/2022
B Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	Securities Trader	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	Securities Trader Principal	Approved	09/21/2022
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	Securities Trader	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	Securities Trader Principal	Approved	09/21/2022
B Cboe Exchange, Inc.	General Securities Representative	Approved	04/18/2003
B Cboe Exchange, Inc.	Securities Trader	Approved	01/04/2016
B Cboe Exchange, Inc.	General Securities Principal	Approved	07/06/2021
B Cboe Exchange, Inc.	Securities Trader Principal	Approved	09/21/2022
B FINRA	General Securities Representative	Approved	04/18/2003
B FINRA	Securities Trader	Approved	01/04/2016
B FINRA	General Securities Principal	Approved	08/02/2019
B FINRA	Direct Participation Programs	Approved	09/21/2022
B FINRA	Direct Participation Programs Principal	Approved	09/21/2022
B FINRA	Government Securities Principal	Approved	09/21/2022
B FINRA	Invest. Co and Variable Contracts	Approved	09/21/2022
B FINRA	Investment Co./Variable Contracts Prin	Approved	09/21/2022
B FINRA	Limited Representative-Prvt Scrts Ofrings	Approved	09/21/2022

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B FINRA	Municipal Securities Representative	Approved	09/21/2022
B FINRA	Private Securities Offerings Principal	Approved	09/21/2022
B FINRA	Securities Trader Principal	Approved	09/21/2022
B Investors' Exchange LLC	General Securities Representative	Approved	09/17/2018
B Investors' Exchange LLC	Securities Trader	Approved	09/17/2018
B Investors' Exchange LLC	General Securities Principal	Approved	11/18/2020
B Investors' Exchange LLC	Securities Trader Principal	Approved	09/21/2022
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	11/01/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B Long-Term Stock Exchange, Inc.	Securities Trader	Approved	11/01/2020
B Long-Term Stock Exchange, Inc.	Securities Trader Principal	Approved	09/21/2022
B MEMX LLC	General Securities Principal	Approved	11/02/2020
B MEMX LLC	General Securities Representative	Approved	11/02/2020
B MEMX LLC	Securities Trader	Approved	11/02/2020
B MEMX LLC	Securities Trader Principal	Approved	09/21/2022
B MIAX PEARL, LLC	General Securities Principal	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B MIAX PEARL, LLC	Securities Trader	Approved	11/02/2020
B MIAX PEARL, LLC	Securities Trader Principal	Approved	09/21/2022
B NYSE American LLC	General Securities Representative	Approved	04/18/2003
B NYSE American LLC	Securities Trader	Approved	01/04/2016
B NYSE American LLC	General Securities Principal	Approved	08/02/2019

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B NYSE American LLC	Municipal Securities Representative	Approved	09/21/2022
B NYSE American LLC	Securities Trader Principal	Approved	09/21/2022
B NYSE Arca, Inc.	General Securities Representative	Approved	04/18/2003
B NYSE Arca, Inc.	General Securities Principal	Approved	08/02/2019
B NYSE Arca, Inc.	Securities Trader	Approved	11/18/2020
B NYSE Arca, Inc.	Securities Trader Principal	Approved	09/21/2022
B NYSE National, Inc.	General Securities Principal	Approved	11/18/2020
B NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE National, Inc.	Securities Trader	Approved	11/18/2020
B NYSE National, Inc.	Municipal Securities Representative	Approved	09/21/2022
B NYSE National, Inc.	Securities Trader Principal	Approved	09/21/2022
B NYSE Texas, Inc.	General Securities Principal	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE Texas, Inc.	Securities Trader	Approved	11/18/2020
B NYSE Texas, Inc.	Securities Trader Principal	Approved	09/21/2022
B Nasdaq BX, Inc.	General Securities Representative	Approved	01/13/2009
B Nasdaq BX, Inc.	Securities Trader	Approved	01/04/2016
B Nasdaq BX, Inc.	General Securities Principal	Approved	08/02/2019
B Nasdaq BX, Inc.	Securities Trader Principal	Approved	09/21/2022
B Nasdaq GEMX, LLC	General Securities Principal	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B Nasdaq GEMX, LLC	Securities Trader	Approved	11/18/2020

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq GEMX, LLC	Securities Trader Principal	Approved	09/21/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	03/01/2008
B Nasdaq ISE, LLC	Securities Trader	Approved	01/04/2016
B Nasdaq ISE, LLC	General Securities Principal	Approved	08/02/2019
B Nasdaq ISE, LLC	Securities Trader Principal	Approved	09/21/2022
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/01/2008
B Nasdaq PHLX LLC	Securities Trader	Approved	01/04/2016
B Nasdaq PHLX LLC	General Securities Principal	Approved	08/02/2019
B Nasdaq PHLX LLC	Securities Trader Principal	Approved	09/21/2022
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	Securities Trader	Approved	01/04/2016
B Nasdaq Stock Market	General Securities Principal	Approved	08/02/2019
B Nasdaq Stock Market	Securities Trader Principal	Approved	09/21/2022
B New York Stock Exchange	General Securities Representative	Approved	04/18/2003
B New York Stock Exchange	Securities Trader	Approved	01/04/2016
B New York Stock Exchange	General Securities Principal	Approved	08/02/2019
B New York Stock Exchange	Municipal Securities Representative	Approved	09/21/2022
B New York Stock Exchange	Securities Trader Principal	Approved	09/21/2022

U.S. State/ Territory	Category	Status	Date
B New York	Agent	Approved	09/26/2003

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

RBC CAPITAL MARKETS, LLC
200 VESEY ST.
NEW YORK, NY 10281

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 4 principal/supervisory exams, 9 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Compliance Officer Examination	Series 14	01/02/2023
B Direct Participation Programs Principal Examination	Series 39	01/02/2023
B Investment Company Products/Variable Contracts Principal Examination	Series 26	01/02/2023
B General Securities Principal Examination	Series 24	08/02/2019

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
B Direct Participation Programs Representative Examination	Series 22TO	01/02/2023
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Limited Representative-Private Securities Offerings	Series 82TO	01/02/2023
B Securities Trader Exam	Series 57TO	01/02/2023
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	05/26/2005
B General Securities Representative Examination	Series 7	04/16/2003

Broker Qualifications



Industry Exams this Broker has Passed, continued

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination	Series 63	09/25/2003

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/.

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 05/2002 - 02/2003	GRASSO, LOUIS	115219	BREWSTER, 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
03/2008 - Present	RBC CAPITAL MARKETS LLC	CORPORATES HIGH YIELD TRADER	Y	NEW YORK, 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.

End of Report



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