

BrokerCheck Report

Ernest Kai-sun Au

CRD# 4830473

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 7
Registration and Employment History	9



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:
 - 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.

**Ernest K. Au**

CRD# 4830473

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

B J.P. MORGAN SECURITIES LLC
 383 MADISON AVENUE
 NEW YORK, NY 10179
 CRD# 79
 Registered with this firm since: 09/08/2011

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
- 53 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 DEUTSCHE BANK SECURITIES INC.**
 CRD# 2525
 NEW YORK, NY
 06/2009 - 06/2011
- B RBS SECURITIES INC.**
 CRD# 11707
 GREENWICH, CT
 08/2008 - 06/2009
- B ABN AMRO INCORPORATED**
 CRD# 15776
 NEW YORK, NY
 12/2004 - 08/2008

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 27 SROs and is licensed in 53 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	05/07/2012
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/20/2024
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/20/2024
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/06/2012
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/20/2024
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/20/2024
B	Cboe Exchange, Inc.	General Securities Representative	Approved	09/08/2011
B	FINRA	General Securities Representative	Approved	09/08/2011
B	FINRA	Investment Banking Representative	Approved	09/08/2011
B	Investors' Exchange LLC	General Securities Representative	Approved	08/30/2016
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	03/20/2019
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/20/2024

Broker Qualifications



Employment 1 of 1, continued

	SRO	Category	Status	Date
B	MIAX Sapphire	General Securities Representative	Approved	11/20/2024
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	11/20/2024
B	NYSE American LLC	General Securities Representative	Approved	09/08/2011
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/08/2011
B	NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	01/06/2012
B	Nasdaq BX, Inc.	General Securities Representative	Approved	09/08/2011
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	08/02/2013
B	Nasdaq ISE, LLC	General Securities Representative	Approved	09/08/2011
B	Nasdaq MRX, LLC	General Securities Representative	Approved	03/24/2016
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/08/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	09/08/2011
B	New York Stock Exchange	General Securities Representative	Approved	09/08/2011

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/25/2021
B	Alaska	Agent	Approved	03/25/2021
B	Arizona	Agent	Approved	03/25/2021
B	Arkansas	Agent	Approved	03/25/2021
B	California	Agent	Approved	03/25/2021
B	Colorado	Agent	Approved	03/25/2021

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	03/25/2021
B	Delaware	Agent	Approved	03/25/2021
B	District of Columbia	Agent	Approved	09/08/2011
B	Florida	Agent	Approved	09/08/2011
B	Georgia	Agent	Approved	03/25/2021
B	Hawaii	Agent	Approved	03/25/2021
B	Idaho	Agent	Approved	03/25/2021
B	Illinois	Agent	Approved	09/08/2011
B	Indiana	Agent	Approved	03/25/2021
B	Iowa	Agent	Approved	03/25/2021
B	Kansas	Agent	Approved	03/25/2021
B	Kentucky	Agent	Approved	03/25/2021
B	Louisiana	Agent	Approved	03/25/2021
B	Maine	Agent	Approved	03/25/2021
B	Maryland	Agent	Approved	03/25/2021
B	Massachusetts	Agent	Approved	09/08/2011
B	Michigan	Agent	Approved	09/08/2011
B	Minnesota	Agent	Approved	03/25/2021
B	Mississippi	Agent	Approved	03/25/2021
B	Missouri	Agent	Approved	03/25/2021
B	Montana	Agent	Approved	03/25/2021

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nebraska	Agent	Approved	03/25/2021
B	Nevada	Agent	Approved	03/25/2021
B	New Hampshire	Agent	Approved	03/25/2021
B	New Jersey	Agent	Approved	09/08/2011
B	New Mexico	Agent	Approved	03/25/2021
B	New York	Agent	Approved	09/08/2011
B	North Carolina	Agent	Approved	09/13/2011
B	North Dakota	Agent	Approved	03/25/2021
B	Ohio	Agent	Approved	03/25/2021
B	Oklahoma	Agent	Approved	03/25/2021
B	Oregon	Agent	Approved	03/25/2021
B	Pennsylvania	Agent	Approved	03/25/2021
B	Puerto Rico	Agent	Approved	03/25/2021
B	Rhode Island	Agent	Approved	03/25/2021
B	South Carolina	Agent	Approved	03/25/2021
B	South Dakota	Agent	Approved	03/25/2021
B	Tennessee	Agent	Approved	09/08/2011
B	Texas	Agent	Approved	09/08/2011
B	Utah	Agent	Approved	09/08/2011
B	Vermont	Agent	Approved	03/25/2021
B	Virgin Islands	Agent	Approved	03/25/2021

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	09/08/2011
B	Washington	Agent	Approved	03/25/2021
B	West Virginia	Agent	Approved	03/25/2021
B	Wisconsin	Agent	Approved	03/25/2021
B	Wyoming	Agent	Approved	03/25/2021

Branch Office Locations

J.P. MORGAN SECURITIES LLC
383 MADISON AVENUE
NEW YORK, NY 10179



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/10/2004

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	09/16/2005

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 06/2009 - 06/2011	DEUTSCHE BANK SECURITIES INC.	2525	NEW YORK, NY
B 08/2008 - 06/2009	RBS SECURITIES INC.	11707	GREENWICH, CT
B 12/2004 - 08/2008	ABN AMRO INCORPORATED	15776	NEW YORK, 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
09/2011 - Present	J.P. Morgan Securities LLC	REGISTERED REPRESENTATIVE	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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