

**BrokerCheck Report**

**Spencer Cross**

CRD# 4984994

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## 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.



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)

**Thank you for using FINRA BrokerCheck.**

**Spencer Cross**

CRD# 4984994

**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: 05/13/2020

**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:**

- 25 Self-Regulatory Organizations
- 53 U.S. states and territories

**This broker has passed:**

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

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

- B GOLDMAN SACHS & CO. LLC**  
CRD# 361  
NEW YORK, NY  
01/2018 - 06/2020
- B DEUTSCHE BANK SECURITIES INC.**  
CRD# 2525  
NEW YORK, NY  
07/2013 - 11/2017
- B CITIGROUP GLOBAL MARKETS INC.**  
CRD# 7059  
NEW YORK, NY  
10/2011 - 07/2013

**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 25 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: **383 MADISON AVENUE  
NEW YORK, NY 10179**

Firm CRD#: **79**

SRO	Category	Status	Date
B BOX Exchange LLC	General Securities Principal	APPROVED	05/13/2020
B BOX Exchange LLC	General Securities Representative	APPROVED	05/13/2020
B BOX Exchange LLC	Registered Options Principal	APPROVED	05/13/2020
B BOX Exchange LLC	Securities Trader	APPROVED	05/13/2020
B BOX Exchange LLC	Securities Trader Principal	APPROVED	05/13/2020
B Cboe BYX Exchange, Inc.	General Securities Principal	APPROVED	05/13/2020
B Cboe BYX Exchange, Inc.	General Securities Representative	APPROVED	05/13/2020
B Cboe BYX Exchange, Inc.	Securities Trader	APPROVED	05/13/2020
B Cboe BYX Exchange, Inc.	Securities Trader Principal	APPROVED	05/13/2020
B Cboe BZX Exchange, Inc.	General Securities Principal	APPROVED	05/13/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	APPROVED	05/13/2020
B Cboe BZX Exchange, Inc.	Registered Options Principal	APPROVED	05/13/2020
B Cboe BZX Exchange, Inc.	Securities Trader	APPROVED	05/13/2020
B Cboe BZX Exchange, Inc.	Securities Trader Principal	APPROVED	05/13/2020
B Cboe C2 Exchange, Inc.	General Securities Representative	APPROVED	05/13/2020



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
B Cboe C2 Exchange, Inc.	Registered Options Principal	APPROVED	05/13/2020
B Cboe C2 Exchange, Inc.	Securities Trader	APPROVED	05/13/2020
B Cboe C2 Exchange, Inc.	Securities Trader Principal	APPROVED	05/13/2020
B Cboe EDGA Exchange, Inc.	General Securities Principal	APPROVED	05/13/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	APPROVED	05/13/2020
B Cboe EDGA Exchange, Inc.	Securities Trader	APPROVED	05/13/2020
B Cboe EDGA Exchange, Inc.	Securities Trader Principal	APPROVED	05/13/2020
B Cboe EDGX Exchange, Inc.	General Securities Principal	APPROVED	05/13/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	APPROVED	05/13/2020
B Cboe EDGX Exchange, Inc.	Registered Options Principal	APPROVED	05/13/2020
B Cboe EDGX Exchange, Inc.	Securities Trader	APPROVED	05/13/2020
B Cboe EDGX Exchange, Inc.	Securities Trader Principal	APPROVED	05/13/2020
B Cboe Exchange, Inc.	General Securities Representative	APPROVED	05/13/2020
B Cboe Exchange, Inc.	Registered Options Principal	APPROVED	05/13/2020
B Cboe Exchange, Inc.	Securities Trader	APPROVED	05/13/2020
B Cboe Exchange, Inc.	Securities Trader Principal	APPROVED	05/13/2020
B FINRA	General Securities Principal	APPROVED	05/13/2020
B FINRA	General Securities Representative	APPROVED	05/13/2020
B FINRA	Registered Options Principal	APPROVED	05/13/2020
B FINRA	Securities Trader	APPROVED	05/13/2020
B FINRA	Securities Trader Principal	APPROVED	05/13/2020
B Investors' Exchange LLC	General Securities Principal	APPROVED	05/13/2020



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
B Investors' Exchange LLC	General Securities Representative	APPROVED	05/13/2020
B Investors' Exchange LLC	Securities Trader	APPROVED	05/13/2020
B Investors' Exchange LLC	Securities Trader Principal	APPROVED	05/13/2020
B Long-Term Stock Exchange, Inc.	General Securities Principal	APPROVED	05/13/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	APPROVED	05/13/2020
B Long-Term Stock Exchange, Inc.	Securities Trader	APPROVED	05/13/2020
B Long-Term Stock Exchange, Inc.	Securities Trader Principal	APPROVED	05/13/2020
B MEMX LLC	General Securities Principal	APPROVED	02/16/2021
B MEMX LLC	General Securities Representative	APPROVED	02/16/2021
B MEMX LLC	Securities Trader	APPROVED	02/16/2021
B MEMX LLC	Securities Trader Principal	APPROVED	02/16/2021
B MIAX Emerald, LLC	General Securities Principal	APPROVED	05/13/2020
B MIAX Emerald, LLC	General Securities Representative	APPROVED	05/13/2020
B MIAX Emerald, LLC	Registered Options Principal	APPROVED	05/13/2020
B MIAX Emerald, LLC	Securities Trader	APPROVED	05/13/2020
B MIAX Emerald, LLC	Securities Trader Principal	APPROVED	05/13/2020
B MIAX PEARL, LLC	General Securities Principal	APPROVED	05/13/2020
B MIAX PEARL, LLC	General Securities Representative	APPROVED	05/13/2020
B MIAX PEARL, LLC	Registered Options Principal	APPROVED	05/13/2020
B MIAX PEARL, LLC	Securities Trader	APPROVED	05/13/2020
B MIAX PEARL, LLC	Securities Trader Principal	APPROVED	05/13/2020
B Miami International Securities	General Securities Principal	APPROVED	05/13/2020



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
Exchange, LLC			
B Miami International Securities Exchange, LLC	General Securities Representative	APPROVED	05/13/2020
B Miami International Securities Exchange, LLC	Registered Options Principal	APPROVED	05/13/2020
B Miami International Securities Exchange, LLC	Securities Trader	APPROVED	05/13/2020
B Miami International Securities Exchange, LLC	Securities Trader Principal	APPROVED	05/13/2020
B NYSE American LLC	General Securities Principal	APPROVED	05/13/2020
B NYSE American LLC	General Securities Representative	APPROVED	05/13/2020
B NYSE American LLC	Registered Options Principal	APPROVED	05/13/2020
B NYSE American LLC	Securities Trader	APPROVED	05/13/2020
B NYSE American LLC	Securities Trader Principal	APPROVED	05/13/2020
B NYSE Arca, Inc.	General Securities Principal	APPROVED	05/13/2020
B NYSE Arca, Inc.	General Securities Representative	APPROVED	05/13/2020
B NYSE Arca, Inc.	Registered Options Principal	APPROVED	05/13/2020
B NYSE Arca, Inc.	Securities Trader	APPROVED	05/13/2020
B NYSE Arca, Inc.	Securities Trader Principal	APPROVED	05/13/2020
B NYSE Chicago, Inc.	General Securities Principal	APPROVED	05/13/2020
B NYSE Chicago, Inc.	General Securities Representative	APPROVED	05/13/2020
B NYSE Chicago, Inc.	Securities Trader	APPROVED	05/13/2020
B NYSE Chicago, Inc.	Securities Trader Principal	APPROVED	05/13/2020
B NYSE National, Inc.	General Securities Principal	APPROVED	05/13/2020



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
B NYSE National, Inc.	General Securities Representative	APPROVED	05/13/2020
B NYSE National, Inc.	Securities Trader	APPROVED	05/13/2020
B NYSE National, Inc.	Securities Trader Principal	APPROVED	05/13/2020
B Nasdaq BX, Inc.	General Securities Principal	APPROVED	05/13/2020
B Nasdaq BX, Inc.	General Securities Representative	APPROVED	05/13/2020
B Nasdaq BX, Inc.	Registered Options Principal	APPROVED	05/13/2020
B Nasdaq BX, Inc.	Securities Trader	APPROVED	05/13/2020
B Nasdaq BX, Inc.	Securities Trader Principal	APPROVED	05/13/2020
B Nasdaq GEMX, LLC	General Securities Principal	APPROVED	05/13/2020
B Nasdaq GEMX, LLC	General Securities Representative	APPROVED	05/13/2020
B Nasdaq GEMX, LLC	Registered Options Principal	APPROVED	05/13/2020
B Nasdaq GEMX, LLC	Securities Trader	APPROVED	05/13/2020
B Nasdaq GEMX, LLC	Securities Trader Principal	APPROVED	05/13/2020
B Nasdaq ISE, LLC	General Securities Principal	APPROVED	05/13/2020
B Nasdaq ISE, LLC	General Securities Representative	APPROVED	05/13/2020
B Nasdaq ISE, LLC	Registered Options Principal	APPROVED	05/13/2020
B Nasdaq ISE, LLC	Securities Trader	APPROVED	05/13/2020
B Nasdaq ISE, LLC	Securities Trader Principal	APPROVED	05/13/2020
B Nasdaq MRX, LLC	General Securities Principal	APPROVED	05/13/2020
B Nasdaq MRX, LLC	General Securities Representative	APPROVED	05/13/2020
B Nasdaq MRX, LLC	Registered Options Principal	APPROVED	05/13/2020
B Nasdaq MRX, LLC	Securities Trader	APPROVED	05/13/2020





## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq MRX, LLC	Securities Trader Principal	APPROVED	05/13/2020
B Nasdaq PHLX LLC	General Securities Principal	APPROVED	05/13/2020
B Nasdaq PHLX LLC	General Securities Representative	APPROVED	05/13/2020
B Nasdaq PHLX LLC	Registered Options Principal	APPROVED	05/13/2020
B Nasdaq PHLX LLC	Securities Trader	APPROVED	05/13/2020
B Nasdaq PHLX LLC	Securities Trader Principal	APPROVED	05/13/2020
B Nasdaq Stock Market	General Securities Principal	APPROVED	05/13/2020
B Nasdaq Stock Market	General Securities Representative	APPROVED	05/13/2020
B Nasdaq Stock Market	Registered Options Principal	APPROVED	05/13/2020
B Nasdaq Stock Market	Securities Trader	APPROVED	05/13/2020
B Nasdaq Stock Market	Securities Trader Principal	APPROVED	05/13/2020
B New York Stock Exchange	General Securities Principal	APPROVED	05/13/2020
B New York Stock Exchange	General Securities Representative	APPROVED	05/13/2020
B New York Stock Exchange	Securities Trader	APPROVED	05/13/2020
B New York Stock Exchange	Securities Trader Principal	APPROVED	05/13/2020

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	APPROVED	05/13/2020
B Alaska	Agent	APPROVED	05/13/2020
B Arizona	Agent	APPROVED	05/13/2020
B Arkansas	Agent	APPROVED	05/13/2020
B California	Agent	APPROVED	05/13/2020



## Broker Qualifications

### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Colorado	Agent	APPROVED	05/13/2020
B Connecticut	Agent	APPROVED	05/13/2020
B Delaware	Agent	APPROVED	05/13/2020
B District of Columbia	Agent	APPROVED	05/13/2020
B Florida	Agent	APPROVED	05/13/2020
B Georgia	Agent	APPROVED	05/13/2020
B Hawaii	Agent	APPROVED	05/13/2020
B Idaho	Agent	APPROVED	05/13/2020
B Illinois	Agent	APPROVED	05/13/2020
B Indiana	Agent	APPROVED	05/13/2020
B Iowa	Agent	APPROVED	05/13/2020
B Kansas	Agent	APPROVED	05/13/2020
B Kentucky	Agent	APPROVED	05/13/2020
B Louisiana	Agent	APPROVED	05/13/2020
B Maine	Agent	APPROVED	05/13/2020
B Maryland	Agent	APPROVED	05/13/2020
B Massachusetts	Agent	APPROVED	05/13/2020
B Michigan	Agent	APPROVED	05/13/2020
B Minnesota	Agent	APPROVED	05/13/2020
B Mississippi	Agent	APPROVED	05/13/2020
B Missouri	Agent	APPROVED	05/13/2020



## Broker Qualifications

### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Montana	Agent	APPROVED	05/13/2020
B Nebraska	Agent	APPROVED	05/13/2020
B Nevada	Agent	APPROVED	05/13/2020
B New Hampshire	Agent	APPROVED	05/13/2020
B New Jersey	Agent	APPROVED	05/13/2020
B New Mexico	Agent	APPROVED	05/13/2020
B New York	Agent	APPROVED	05/13/2020
B North Carolina	Agent	APPROVED	05/13/2020
B North Dakota	Agent	APPROVED	05/13/2020
B Ohio	Agent	APPROVED	05/13/2020
B Oklahoma	Agent	APPROVED	05/13/2020
B Oregon	Agent	APPROVED	05/13/2020
B Pennsylvania	Agent	APPROVED	05/13/2020
B Puerto Rico	Agent	APPROVED	05/13/2020
B Rhode Island	Agent	APPROVED	05/13/2020
B South Carolina	Agent	APPROVED	05/13/2020
B South Dakota	Agent	APPROVED	05/13/2020
B Tennessee	Agent	APPROVED	05/13/2020
B Texas	Agent	APPROVED	05/13/2020
B Utah	Agent	APPROVED	05/13/2020
B Vermont	Agent	APPROVED	05/13/2020



## Broker Qualifications

### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
<b>B</b> Virgin Islands	Agent	APPROVED	05/13/2020
<b>B</b> Virginia	Agent	APPROVED	05/13/2020
<b>B</b> Washington	Agent	APPROVED	05/13/2020
<b>B</b> West Virginia	Agent	APPROVED	05/13/2020
<b>B</b> Wisconsin	Agent	APPROVED	05/13/2020
<b>B</b> Wyoming	Agent	APPROVED	05/13/2020

### Branch Office Locations

#### J.P. MORGAN SECURITIES LLC

383 MADISON AVENUE  
NEW YORK, NY 10179

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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.

**This individual has passed 2 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Registered Options Principal Examination	Series 4	01/29/2013
<b>B</b> General Securities Principal Examination	Series 24	12/28/2012

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	01/26/2012
<b>B</b> Limited Representative-Equity Trader Exam	Series 55	03/21/2006
<b>B</b> General Securities Representative Examination	Series 7	08/31/2005

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	09/06/2005

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/](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>B</b> 01/2018 - 06/2020	GOLDMAN SACHS & CO. LLC	361	NEW YORK, NY
<b>B</b> 07/2013 - 11/2017	DEUTSCHE BANK SECURITIES INC.	2525	NEW YORK, NY
<b>B</b> 10/2011 - 07/2013	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
<b>B</b> 09/2008 - 08/2011	BARCLAYS CAPITAL INC.	19714	NEW YORK, NY
<b>B</b> 09/2005 - 09/2008	LEHMAN BROTHERS INC.	7506	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
05/2020 - Present	JPMorgan Securities LLC	EXECDIR	Y	NEW YORK, NY, United States
01/2018 - 05/2020	GOLDMAN SACHS	MANAGING DIRECTOR	Y	NEW YORK, NY, United States
11/2017 - 01/2018	Unemployed	Unemployed	N	Brooklyn, NY, United States
06/2013 - 10/2017	DEUTSCHE BANK SECURITIES INC	MANAGING DIRECTOR	Y	NEW YORK, NY, United States
10/2011 - 06/2013	CITIGROUP	TRADER	Y	NEW YORK, NY, United States
09/2008 - 10/2011	BARCLAYS CAPITAL INC.	MASS TRANSFER	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.

## Registration and Employment History



### Other Business Activities, continued

No information reported.

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## End of Report



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