

BrokerCheck Report

SPENCER M CROSS

CRD# 4984994

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 9
Registration and Employment History	10

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.](http://www.finra.org)

SPENCER M. CROSS

CRD# 4984994

Currently employed by and registered with the following Firm(s):**GOLDMAN SACHS & CO. LLC**200 WEST STREET
NEW YORK, NY 10282-2198
CRD# 361

Registered with this firm since: 01/25/2018

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:**

- 23 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):****DEUTSCHE BANK SECURITIES INC.**CRD# 2525
NEW YORK, NY
07/2013 - 11/2017**CITIGROUP GLOBAL MARKETS INC.**CRD# 7059
NEW YORK, NY
10/2011 - 07/2013**BARCLAYS CAPITAL INC.**CRD# 19714
NEW YORK, NY
09/2008 - 08/2011**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? **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 23 SROs and is licensed in 53 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **GOLDMAN SACHS & CO. LLC**
 Main Office Address: **200 WEST STREET
 NEW YORK, NY 10282-2198**
 Firm CRD#: **361**

SRO	Category	Status	Date
FINRA	General Securities Principal	APPROVED	01/25/2018
FINRA	General Securities Representative	APPROVED	01/25/2018
FINRA	Registered Options Principal	APPROVED	01/25/2018
FINRA	Securities Trader	APPROVED	01/25/2018
FINRA	Securities Trader Principal	APPROVED	02/25/2019
BOX Exchange LLC	General Securities Principal	APPROVED	01/25/2018
BOX Exchange LLC	General Securities Representative	APPROVED	01/25/2018
BOX Exchange LLC	Registered Options Principal	APPROVED	01/25/2018
Cboe BYX Exchange, Inc.	General Securities Principal	APPROVED	01/25/2018
Cboe BYX Exchange, Inc.	General Securities Representative	APPROVED	01/25/2018
Cboe BYX Exchange, Inc.	Securities Trader	APPROVED	01/25/2018
Cboe BYX Exchange, Inc.	Securities Trader Principal	APPROVED	02/25/2019
Cboe BZX Exchange, Inc.	General Securities Principal	APPROVED	01/25/2018
Cboe BZX Exchange, Inc.	General Securities Representative	APPROVED	01/25/2018
Cboe BZX Exchange, Inc.	Registered Options Principal	APPROVED	01/25/2018
Cboe BZX Exchange, Inc.	Securities Trader	APPROVED	01/25/2018
Cboe BZX Exchange, Inc.	Securities Trader Principal	APPROVED	02/25/2019
Cboe C2 Exchange, Inc.	General Securities Representative	APPROVED	01/25/2018



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
Cboe C2 Exchange, Inc.	Registered Options Principal	APPROVED	01/25/2018
Cboe C2 Exchange, Inc.	Securities Trader	APPROVED	01/25/2018
Cboe C2 Exchange, Inc.	Securities Trader Principal	APPROVED	02/25/2019
Cboe EDGA Exchange, Inc.	General Securities Principal	APPROVED	01/25/2018
Cboe EDGA Exchange, Inc.	General Securities Representative	APPROVED	01/25/2018
Cboe EDGA Exchange, Inc.	Securities Trader	APPROVED	01/25/2018
Cboe EDGA Exchange, Inc.	Securities Trader Principal	APPROVED	02/25/2019
Cboe EDGX Exchange, Inc.	General Securities Principal	APPROVED	01/25/2018
Cboe EDGX Exchange, Inc.	General Securities Representative	APPROVED	01/25/2018
Cboe EDGX Exchange, Inc.	Registered Options Principal	APPROVED	01/25/2018
Cboe EDGX Exchange, Inc.	Securities Trader	APPROVED	01/25/2018
Cboe EDGX Exchange, Inc.	Securities Trader Principal	APPROVED	02/25/2019
Cboe Exchange, Inc.	General Securities Representative	APPROVED	01/25/2018
Cboe Exchange, Inc.	Registered Options Principal	APPROVED	01/25/2018
Cboe Exchange, Inc.	Securities Trader	APPROVED	01/25/2018
Cboe Exchange, Inc.	Securities Trader Principal	APPROVED	02/25/2019
Investors' Exchange LLC	General Securities Principal	APPROVED	01/25/2018
Investors' Exchange LLC	General Securities Representative	APPROVED	01/25/2018
Investors' Exchange LLC	Securities Trader	APPROVED	01/25/2018
Investors' Exchange LLC	Securities Trader Principal	APPROVED	02/25/2019
MIAX Emerald, LLC	General Securities Principal	APPROVED	03/29/2019
MIAX Emerald, LLC	General Securities Representative	APPROVED	03/29/2019
MIAX Emerald, LLC	Registered Options Principal	APPROVED	03/29/2019
MIAX Emerald, LLC	Securities Trader	APPROVED	03/29/2019
MIAX Emerald, LLC	Securities Trader Principal	APPROVED	03/29/2019
MIAX PEARL, LLC	General Securities Principal	APPROVED	01/25/2018
MIAX PEARL, LLC	General Securities Representative	APPROVED	01/25/2018



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
MIAX PEARL, LLC	Registered Options Principal	APPROVED	01/25/2018
MIAX PEARL, LLC	Securities Trader	APPROVED	01/25/2018
MIAX PEARL, LLC	Securities Trader Principal	APPROVED	02/25/2019
Miami International Securities Exchange, LLC	General Securities Principal	APPROVED	01/25/2018
Miami International Securities Exchange, LLC	General Securities Representative	APPROVED	01/25/2018
Miami International Securities Exchange, LLC	Registered Options Principal	APPROVED	01/25/2018
Miami International Securities Exchange, LLC	Securities Trader	APPROVED	01/25/2018
Miami International Securities Exchange, LLC	Securities Trader Principal	APPROVED	02/25/2019
NYSE American LLC	General Securities Principal	APPROVED	01/25/2018
NYSE American LLC	General Securities Representative	APPROVED	01/25/2018
NYSE American LLC	Registered Options Principal	APPROVED	01/25/2018
NYSE American LLC	Securities Trader	APPROVED	01/25/2018
NYSE American LLC	Securities Trader Principal	APPROVED	02/25/2019
NYSE Arca, Inc.	General Securities Principal	APPROVED	01/25/2018
NYSE Arca, Inc.	General Securities Representative	APPROVED	01/25/2018
NYSE Arca, Inc.	Registered Options Principal	APPROVED	01/25/2018
NYSE Arca, Inc.	Securities Trader	APPROVED	01/25/2018
NYSE Arca, Inc.	Securities Trader Principal	APPROVED	02/25/2019
NYSE Chicago, Inc.	General Securities Principal	APPROVED	01/25/2018
NYSE Chicago, Inc.	General Securities Representative	APPROVED	01/25/2018
NYSE Chicago, Inc.	Securities Trader	APPROVED	01/25/2018
NYSE Chicago, Inc.	Securities Trader Principal	APPROVED	02/25/2019
NYSE National, Inc.	General Securities Principal	APPROVED	08/21/2018
NYSE National, Inc.	General Securities Representative	APPROVED	08/21/2018



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
NYSE National, Inc.	Securities Trader	APPROVED	08/21/2018
NYSE National, Inc.	Securities Trader Principal	APPROVED	02/25/2019
Nasdaq BX, Inc.	General Securities Principal	APPROVED	01/25/2018
Nasdaq BX, Inc.	General Securities Representative	APPROVED	01/25/2018
Nasdaq BX, Inc.	Registered Options Principal	APPROVED	01/25/2018
Nasdaq BX, Inc.	Securities Trader	APPROVED	01/25/2018
Nasdaq BX, Inc.	Securities Trader Principal	APPROVED	02/25/2019
Nasdaq GEMX, LLC	General Securities Principal	APPROVED	01/25/2018
Nasdaq GEMX, LLC	General Securities Representative	APPROVED	01/25/2018
Nasdaq GEMX, LLC	Registered Options Principal	APPROVED	01/25/2018
Nasdaq GEMX, LLC	Securities Trader	APPROVED	01/25/2018
Nasdaq GEMX, LLC	Securities Trader Principal	APPROVED	02/25/2019
Nasdaq ISE, LLC	General Securities Principal	APPROVED	01/25/2018
Nasdaq ISE, LLC	General Securities Representative	APPROVED	01/25/2018
Nasdaq ISE, LLC	Registered Options Principal	APPROVED	01/25/2018
Nasdaq ISE, LLC	Securities Trader	APPROVED	01/25/2018
Nasdaq ISE, LLC	Securities Trader Principal	APPROVED	02/25/2019
Nasdaq MRX, LLC	General Securities Principal	APPROVED	01/25/2018
Nasdaq MRX, LLC	General Securities Representative	APPROVED	01/25/2018
Nasdaq MRX, LLC	Registered Options Principal	APPROVED	01/25/2018
Nasdaq MRX, LLC	Securities Trader	APPROVED	01/25/2018
Nasdaq MRX, LLC	Securities Trader Principal	APPROVED	02/25/2019
Nasdaq PHLX LLC	General Securities Principal	APPROVED	01/25/2018
Nasdaq PHLX LLC	General Securities Representative	APPROVED	01/25/2018
Nasdaq PHLX LLC	Registered Options Principal	APPROVED	01/25/2018
Nasdaq PHLX LLC	Securities Trader	APPROVED	01/25/2018
Nasdaq PHLX LLC	Securities Trader Principal	APPROVED	02/25/2019



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
Nasdaq Stock Market	General Securities Principal	APPROVED	01/25/2018
Nasdaq Stock Market	General Securities Representative	APPROVED	01/25/2018
Nasdaq Stock Market	Registered Options Principal	APPROVED	01/25/2018
Nasdaq Stock Market	Securities Trader	APPROVED	01/25/2018
Nasdaq Stock Market	Securities Trader Principal	APPROVED	02/25/2019
New York Stock Exchange	General Securities Principal	APPROVED	01/25/2018
New York Stock Exchange	General Securities Representative	APPROVED	01/25/2018
New York Stock Exchange	Securities Trader	APPROVED	01/25/2018
New York Stock Exchange	Securities Trader Principal	APPROVED	02/25/2019

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
Alabama	Agent	APPROVED	01/25/2018	Indiana	Agent	APPROVED	01/25/2018
Alaska	Agent	APPROVED	01/25/2018	Iowa	Agent	APPROVED	01/25/2018
Arizona	Agent	APPROVED	01/25/2018	Kansas	Agent	APPROVED	01/25/2018
Arkansas	Agent	APPROVED	01/25/2018	Kentucky	Agent	APPROVED	01/25/2018
California	Agent	APPROVED	01/25/2018	Louisiana	Agent	APPROVED	01/25/2018
Colorado	Agent	APPROVED	01/25/2018	Maine	Agent	APPROVED	01/25/2018
Connecticut	Agent	APPROVED	01/25/2018	Maryland	Agent	APPROVED	01/25/2018
Delaware	Agent	APPROVED	01/25/2018	Massachusetts	Agent	APPROVED	01/25/2018
District of Columbia	Agent	APPROVED	01/25/2018	Michigan	Agent	APPROVED	01/25/2018
Florida	Agent	APPROVED	01/25/2018	Minnesota	Agent	APPROVED	01/25/2018
Georgia	Agent	APPROVED	01/25/2018	Mississippi	Agent	APPROVED	01/25/2018
Hawaii	Agent	APPROVED	01/25/2018	Missouri	Agent	APPROVED	01/25/2018
Idaho	Agent	APPROVED	01/25/2018	Montana	Agent	APPROVED	01/25/2018
Illinois	Agent	APPROVED	01/25/2018	Nebraska	Agent	APPROVED	01/25/2018
				Nevada	Agent	APPROVED	01/25/2018



Broker Qualifications

Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
New Hampshire	Agent	APPROVED	01/25/2018
New Jersey	Agent	APPROVED	01/25/2018
New Mexico	Agent	APPROVED	01/25/2018
New York	Agent	APPROVED	01/25/2018
North Carolina	Agent	APPROVED	01/25/2018
North Dakota	Agent	APPROVED	01/25/2018
Ohio	Agent	APPROVED	01/25/2018
Oklahoma	Agent	APPROVED	01/25/2018
Oregon	Agent	APPROVED	01/25/2018
Pennsylvania	Agent	APPROVED	01/25/2018
Puerto Rico	Agent	APPROVED	01/25/2018
Rhode Island	Agent	APPROVED	01/25/2018
South Carolina	Agent	APPROVED	01/25/2018
South Dakota	Agent	APPROVED	01/25/2018
Tennessee	Agent	APPROVED	01/25/2018
Texas	Agent	APPROVED	01/25/2018
Utah	Agent	APPROVED	01/25/2018
Vermont	Agent	APPROVED	01/25/2018
Virgin Islands	Agent	APPROVED	01/25/2018
Virginia	Agent	APPROVED	01/25/2018
Washington	Agent	APPROVED	01/25/2018
West Virginia	Agent	APPROVED	01/25/2018
Wisconsin	Agent	APPROVED	01/25/2018
Wyoming	Agent	APPROVED	01/25/2018

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



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
Registered Options Principal Examination	Series 4	01/29/2013
General Securities Principal Examination	Series 24	12/28/2012

General Industry/Product Exams

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

State Securities Law Exams

Exam	Category	Date
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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
07/2013 - 11/2017	DEUTSCHE BANK SECURITIES INC.	2525	NEW YORK, NY
10/2011 - 07/2013	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
09/2008 - 08/2011	BARCLAYS CAPITAL INC.	19714	NEW YORK, NY
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 Dates	Employer Name	Employer Location
06/2013 - Present	DEUTSCHE BANK SECURITIES INC	NEW YORK, NY
10/2011 - 06/2013	CITIGROUP	NEW YORK, NY
09/2008 - 10/2011	BARCLAYS CAPITAL INC.	NEW YORK, NY

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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