BrokerCheck Report

Jacqueline Ann Miller

CRD# 600311

Section Title	Page(s)

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.

Jacqueline A. Miller

CRD# 600311

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

B **REALTA EQUITIES, INC.**
1201 N. ORANGE STREET
SUITE 729
WILMINGTON, DE 19801
CRD# 23769
Registered with this firm since: 03/07/2022

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:

- 1 Self-Regulatory Organization
- 4 U.S. states and territories

This broker has passed:

- 0 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 **IBN FINANCIAL SERVICES, INC.**
CRD# 42360
Suffern, NY
05/2019 - 03/2022

B **NATIONAL SECURITIES CORPORATION**
CRD# 7569
SUFFERN, NY
11/2017 - 04/2019

B **AEGIS CAPITAL CORP.**
CRD# 15007
NEW YORK, NY
10/2010 - 10/2017

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:

Type	Count
Regulatory Event	1
Criminal	1
Customer Dispute	1

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 1 SRO and is licensed in 4 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **REALTA EQUITIES, INC.**

Main Office Address: **1201 N. ORANGE STREET**
SUITE 300
WILMINGTON, DE 92130

Firm CRD#: **23769**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/07/2022

	U.S. State/ Territory	Category	Status	Date
B	Maryland	Agent	Approved	03/07/2022
B	New Jersey	Agent	Approved	03/07/2022
B	New York	Agent	Approved	03/07/2022
B	North Carolina	Agent	Approved	08/08/2025

Branch Office Locations

REALTA EQUITIES, INC.
1201 N. ORANGE STREET
SUITE 729
WILMINGTON, DE 19801

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, 4 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	General Securities Representative Examination	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	AMEX Put and Call Exam	PC	05/09/1977
B	Registered Representative Examination	Series 1	06/26/1972

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	03/03/1986

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	05/2019 - 03/2022	IBN FINANCIAL SERVICES, INC.	42360	Suffern, NY
B	11/2017 - 04/2019	NATIONAL SECURITIES CORPORATION	7569	SUFFERN, NY
B	10/2010 - 10/2017	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
B	04/2008 - 10/2010	WESTROCK ADVISORS, INC.	114338	NEW YORK, NY
B	10/2002 - 05/2008	MAXIM GROUP LLC	120708	NEW YORK, NY
B	06/1999 - 10/2002	INVESTEC ERNST & COMPANY	266	NEW YORK, NY
B	03/1997 - 06/1999	STUART, COLEMAN & CO., INC.	8642	NEW YORK, NY
B	05/1995 - 01/1997	HAMPSHIRE SECURITIES CORPORATION	19725	NEW YORK, NY
B	09/1982 - 06/1995	ADVEST, INC.	10	HARTFORD, CT
B	10/1981 - 08/1982	PRESCOTT, BALL & TURBEN	7656	

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
03/2022 - Present	REALTA EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, United States
11/2017 - 03/2022	NATIONAL SECURITIES CORP	REGISTERED REPRESENTATIVE	Y	SUFFERN, NY, United States
10/2010 - 10/2017	AEGIS CAPITAL CORP	BROKER	Y	NEW YORK, NY, United States

Registration and Employment History

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.

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:**
   - 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.
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4. **There are different statuses and dispositions for disclosure events:**
   - 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.
   - 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
Regulatory Event	0	1	0
Criminal	0	1	0
Customer Dispute	0	1	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	COMMODITY FUTURES TRADE COMMISSION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/03/1997
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	01/03/1997
Sanctions Ordered:	Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details:

Regulator Statement 01-03-97, MILLER'S REGISTRATION WAS REVOKED BY THE CFTC PURSUANT TO SECTION 14(f) OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. 18(f) FOR FAILURE TO PAY THE REPARATIONS AWARD WITHIN 60 DAYS OF THE REPARATIONS DECISION. MILLER HAD BEEN ORDERED TO PAY DAMAGES IN THE AMOUNT OF $4,500 PLUS INTEREST AND COSTS IN AN ORDER OF REPARATION DATED NOVEMBER 19, 1982 [FRANCIS K, MIRECKI V. NELSON, GRUN & ASSOCIATES, INC. AND JACQUELINE A. MILLER, CFTC DOCKET NO. R 80-1379-81-226].

INFORMATION CONCERNING THE INTIAL DECISION AND THE REVOCATION PROVIDED BY TEMPEST THOMAS OF THE CFTC.

******************REVOCATION LIFTED 03/17/97******************
************DUE TO SETTLEMENT AGREEMENT*********************
****** *****IN CFTC DOCKET NO. R80-1379-81-226***************

Reporting Source:	Broker
Regulatory Action Initiated By:	COMMODITY FUTURES TRADE COMMISSION
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	FAILED TO PAY CIVIL PENALTY - ARBITRATION AWARD TO [CUSTOMER].
Date Initiated:	01/19/1982
Docket/Case Number:	R80 1379-81-226
Employing firm when activity occurred which led to the regulatory action:	NELSON GRUN & ASSOCIATES
Product Type:	Commodity Option(s)
Other Product Type(s):	
Allegations:	MY REGISTRATION WAS REVOKED FOR NON-PAYMENT OF AN AWARD IN CASE NO. R-80-1379-81-226.
Current Status:	Final
Resolution:	Decision

Resolution Date:	01/03/1997
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	REVOCATION WAS LIFTED- ARBITRATION AWARD PAID $4,000.
Broker Statement	NOT PROVIDED

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	MUNICIPAL COURT OF NORTH HALEDON, NEW JERSEY, COMPLAINT # S-2001-000112
Charge Date:	10/15/2001
Charge Details:	THEFT OF SERVICES, CIVIL MATTER, DISMISSED WITHOUT PREJUDICE
Felony?	No
Current Status:	Final
Status Date:	10/15/2001
Disposition Details:	DISMISSED WITHOUT PREJUDICE, 10/15/2001

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	NELSON, GHUN & ASSOCIATES
Allegations:	
Product Type:	
Alleged Damages:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	- CASE #
Date Notice/Process Served:	09/24/1980
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	11/19/1982
Disposition Detail:	CFTC DOCKET NO. R 80-1379-81-226, FRANCIS K. MIRECKI, COM-PLAINANT, V. NELSON, GHUN AND ASSOCIATES AND JACQUELINE A MILLER, RESPONDENTS. THE COMPLAINT WAS RECEIVED BY SEPTEMBER 24, 1980, ALLEGING THAT THE FIRM FAILED TO PROVIDE HIM WITH ALL OF THE REQUIRED RISK DISCLOSURE INFORMATION AND THAT RESPONDENT MILLER, IN THE COURSE OF SOLICITING HIM, TOLD THE COMPLAINANT THAT HE COULD SET A LIMIT AS TO THE AMOUNT HE COULD LOSE. THIS REPRESENTATION IS FALSE IN RESPECT TO A POOL ACCOUNT. THE COURT FOUND THAT THE ALLEGATIONS OF THE COMPLAINANT WERE TRUE AND IN VIOLATION OF THE CFTC ACT AND ORDERED THE FIRM TO PAY THE RESPONDENT DAMAGES IN THE AMOUNT OF $5,000, PLUS INTEREST AND FILING FEES. MILLER WAS ORDERED TO PAY THE RESPONDENT $4,500, PLUS INTEREST AND THE FILING FEES. THE DATE OF THE ORDER WAS NOVEMBER 19, 1982.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	HAMPSHIRE SECURITIES
Allegations:	[CUSTOMER] BOUGHT 500 NTN COMMUNICATIONS. SOLD OUT FOR FAILURE TO PAY.
Product Type:	Other
Other Product Type(s):	STOCK
Alleged Damages:	$3,900.00

Customer Complaint Information

Date Complaint Received:	12/10/1996
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	12/19/1997
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	CFTC DOCKET NO. R 80-1379-81-226
Date Notice/Process Served:	09/24/1980
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/19/1982
Monetary Compensation Amount:	$9,500.00
Individual Contribution Amount:	$4,500.00

End of Report

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