

BrokerCheck Report

JASON BARRY REBACK

CRD# 735463

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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.



JASON B. REBACK

CRD# 735463

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

IA RBC CAPITAL MARKETS, LLC
 200 Park Avenue
 2nd Floor
 FLORHAM PARK, NJ 07932
 CRD# 31194
 Registered with this firm since: 10/09/2009

B RBC CAPITAL MARKETS, LLC
 200 Park Avenue
 2nd Floor
 FLORHAM PARK, NJ 07932-1026
 CRD# 31194
 Registered with this firm since: 10/09/2009

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
- 36 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA J. B. HANAUER & CO.**
 CRD# 6958
 PARSIPPANY, NJ
 08/2005 - 10/2009
- B J. B. HANAUER & CO.**
 CRD# 6958
 PARSIPPANY, NJ
 07/2005 - 10/2009
- IA J. B. HANAUER & CO.**
 CRD# 6958
 PARSIPPANY, NJ
 07/2005 - 07/2005

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
Customer Dispute	2
Termination	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 22 SROs and is licensed in 36 U.S. states and territories 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	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	10/10/2009
B	FINRA	General Securities Representative	Approved	10/09/2009
B	Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B	MEMX LLC	General Securities Representative	Approved	11/01/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B	NYSE American LLC	General Securities Representative	Approved	10/10/2009
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/10/2009
B	NYSE National, Inc.	General Securities Representative	Approved	11/18/2020

Broker Qualifications



Employment 1 of 1, continued

	SRO	Category	Status	Date
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B	Nasdaq BX, Inc.	General Securities Representative	Approved	10/10/2009
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	10/10/2009
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/10/2009
B	Nasdaq Stock Market	General Securities Representative	Approved	10/10/2009
B	New York Stock Exchange	General Securities Representative	Approved	10/10/2009

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	06/25/2019
B	Arkansas	Agent	Approved	01/28/2020
B	California	Agent	Approved	10/09/2009
B	Colorado	Agent	Approved	05/24/2011
B	Connecticut	Agent	Approved	10/09/2009
B	Delaware	Agent	Approved	07/02/2019
B	District of Columbia	Agent	Approved	06/25/2019
B	Florida	Agent	Approved	10/09/2009
IA	Florida	Investment Adviser Representative	Approved	09/11/2023
B	Georgia	Agent	Approved	07/05/2017
B	Illinois	Agent	Approved	11/04/2013
B	Indiana	Agent	Approved	04/16/2013
B	Iowa	Agent	Approved	08/15/2017

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kentucky	Agent	Approved	02/22/2011
B	Maine	Agent	Approved	07/12/2012
B	Maryland	Agent	Approved	10/09/2009
B	Massachusetts	Agent	Approved	10/09/2009
B	Michigan	Agent	Approved	06/26/2019
B	Nebraska	Agent	Approved	01/18/2012
B	New Hampshire	Agent	Approved	07/24/2023
B	New Jersey	Agent	Approved	10/09/2009
IA	New Jersey	Investment Adviser Representative	Approved	10/09/2009
B	New Mexico	Agent	Approved	08/04/2016
B	New York	Agent	Approved	10/09/2009
B	North Carolina	Agent	Approved	10/09/2009
B	Ohio	Agent	Approved	09/29/2019
B	Oklahoma	Agent	Approved	06/24/2019
B	Oregon	Agent	Approved	02/03/2020
B	Pennsylvania	Agent	Approved	10/09/2009
B	Rhode Island	Agent	Approved	03/01/2019
B	South Carolina	Agent	Approved	10/09/2009
B	Tennessee	Agent	Approved	06/25/2019
B	Texas	Agent	Approved	03/19/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	02/05/2015



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Vermont	Agent	Approved	11/22/2016
B	Virginia	Agent	Approved	10/09/2009
B	Washington	Agent	Approved	04/20/2011
B	West Virginia	Agent	Approved	08/13/2019
B	Wisconsin	Agent	Approved	09/10/2020

Branch Office Locations

RBC CAPITAL MARKETS, LLC
200 Park Avenue
2nd Floor
FLORHAM PARK, NJ 07932-1026

RBC CAPITAL MARKETS, LLC
Delray Beach, FL

RBC CAPITAL MARKETS, LLC
PARSIPPANY, NJ



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 1 principal/supervisory exam, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	07/06/1998

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	01/20/2004
B General Securities Representative Examination	Series 7	10/16/1982
B Direct Participation Programs Representative Examination	Series 22	06/14/1982
B Municipal Securities Representative Examination	Series 52	07/18/1981

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/27/2002
B Uniform Securities Agent State Law Examination	Series 63	04/19/1983

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
IA	08/2005 - 10/2009	J. B. HANAUER & CO.	6958	PARSIPPANY, NJ
B	07/2005 - 10/2009	J. B. HANAUER & CO.	6958	PARSIPPANY, NJ
IA	07/2005 - 07/2005	J. B. HANAUER & CO.	6958	PARSIPPANY, NJ
IA	07/2002 - 07/2005	MORGAN STANLEY	7556	ROCKAWAY, NJ
B	10/1999 - 07/2005	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
B	09/1999 - 11/1999	TUCKER ANTHONY INCORPORATED	837	BOSTON, MA
B	10/1993 - 09/1999	GIBRALTAR SECURITIES CO.	7093	FLORHAM PARK, NJ
B	08/1990 - 09/1993	JANNEY MONTGOMERY SCOTT INC.	463	PHILADELPHIA, PA
B	02/1988 - 08/1990	PRUDENTIAL-BACHE SECURITIES INC.	7471	NEW YORK, NY
B	06/1985 - 01/1988	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	
B	03/1983 - 05/1985	MOORE & SCHLEY, CAMERON & CO.	6917	
B	02/1983 - 05/1985	MOORE & SCHLEY MUNICIPALS, INC.	8000	
B	10/1982 - 02/1983	SHEARSON/AMERICAN EXPRESS INC.	7506	
B	06/1982 - 10/1982	ISLAND PLANNING CORP. OF AMERICA	444	
B	07/1981 - 03/1982	J. B. HANAUER & CO.	6958	

Employment History



Registration and Employment History

Employment History, continued

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
12/2017 - Present	City National Bank	Employee of an Affiliate	Y	Florham Park, NJ, United States
10/2009 - Present	RBC CAPITAL MARKETS, LLC	Registered Representative	Y	FLORHAM PARK, NJ, 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.

CYSTIC FIBROSIS FOUNDATION- NEW JERSEY; ADDRESS: 6931 ARLINGTON ROAD STE 200 BETHESDA, MD 20814; BUSINESS DESCRIPTION: NOT FOR PROFIT; NOT INVESTMENT RELATED; START DATE: 05/01/2013; CAPACITY: BOARD OF DIRECTORS; DUTIES: VOLUNTEERING, EVENT FUND RAISING, RECRUITING NEW VOLUNTEERS; HOURS DEVOTED PER WEEK: 1; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 0

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
Customer Dispute	0	2	N/A
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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:	NASD
Sanction(s) Sought:	
Date Initiated:	05/18/2005
Docket/Case Number:	C9B050033
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY DEAN WITTER, INC.
Product Type:	No Product
Allegations:	NASD RULES IM-2310-2, 2110 - RESPONDENT PURCHASED BONDS IN THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT THE CUSTOMER'S CONSENT OR AUTHORITY.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 05/18/2005

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, REBACK CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS AND FINED \$6,316, WHICH INCLUDES DISGORGEMENT OF COMMISSIONS OF \$1,316.00. THE SUSPENSION WILL BEGIN JUNE 20, 2005 AND WILL CONCLUDE JULY 1, 2005. FINES PAID.

Reporting Source: Broker

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: FINE

Date Initiated: 05/18/2005

Docket/Case Number: [C9B050033](#)

Employing firm when activity occurred which led to the regulatory action: MORGAN STANLEY DW INC.

Product Type: Debt - Corporate

Other Product Type(s):

Allegations: NASD RULES IM-2310-2, 2110 - RESPONDENT PURCHASED BONDS IN THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT THE CUSTOMER'S CONSENT OR AUTHORITY.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Resolution Date: 05/18/2005

Sanctions Ordered: Monetary/Fine \$6,316.00
Suspension

Other Sanctions Ordered: N/A

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, REBACK
CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF
FINDINGS. SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN
ANY CAPACITY FOR 10 BUSINESS DAYS AND FINED \$6,316, WHICH
INCLUDES DISGORGEMENT OF COMMISSIONS OF \$1,316.00. SUSPENSION
COMMENCED WITH THE OPENING OF BUSINESS ON JUNE 20, 2005 AND
WILL CONCLUDE AT THE CLOSE OF BUSINESS ON JULY 1, 2005.



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING.

Product Type: Debt - Corporate

Other Product Type(s): BONDS

Alleged Damages: \$17,000.00

Customer Complaint Information

Date Complaint Received: 08/29/2003

Complaint Pending? No

Status: Settled

Status Date: 06/20/2005

Settlement Amount: \$19,700.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING.

Product Type: Debt - Corporate

Other Product Type(s): BONDS

Alleged Damages: \$17,000.00

Customer Complaint Information

Date Complaint Received: 08/29/2003



Complaint Pending?	No
Status:	Denied Settled
Status Date:	06/20/2005
Settlement Amount:	\$19,700.00
Individual Contribution Amount:	\$0.00
Broker Statement	COMPLAINT WAS ORIGINALLY DENIED. MORGAN STANLEY SETTLED FOR \$19,700.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC.
Allegations:	CUSTOMER ALLEGES UNSUITABLE RECOMMENDATIONS FROM 2000 TO 2002.
Product Type:	Equity - OTC
Alleged Damages:	\$100,000.00

Customer Complaint Information

Date Complaint Received:	06/29/2004
Complaint Pending?	No
Status:	Closed/No Action Denied
Status Date:	06/29/2006
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Broker Statement	COMPLAINT REJECTED 8/27/2004. THIS IS NO LONGER DISCLOSABLE ON MR. REBACK'S U-4 AS OF JUNE 29, 2006, BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	JANNEY MONTGOMERY SCOTT
Termination Type:	Discharged
Termination Date:	07/09/1993
Allegations:	NA THE ALLEGATIONS WERE THAT I ENGAGED IN OUTSIDE BUSINESS ACTIVITIES WITHOUT FULL AND COMPLETE DISCLOSURE TO MY EMPLOYER FIRM.
Product Type:	
Other Product Types:	
Broker Statement	I WAS TERMINATED FROM JANNEY MONTGOMERY SCOTT ON 7/9/93 NA

End of Report



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