

## BrokerCheck Report

**JAMES THOMAS CROWLEY**

CRD# 1087182

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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](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).

**JAMES T. CROWLEY**

CRD# 1087182

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

**B** **PERSHING ADVISOR SOLUTIONS LLC**  
ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399  
CRD# 36671  
Registered with this firm since: 06/08/2020

**B** **PERSHING LLC**  
240 GREENWICH STREET  
NEW YORK, NY 10286  
CRD# 7560  
Registered with this firm since: 03/22/1983

**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:**

- 20 Self-Regulatory Organizations
- 8 U.S. states and territories

**This broker has passed:**

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

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

No information reported.

**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 20 SROs and is licensed in 8 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **PERSHING ADVISOR SOLUTIONS LLC**

Main Office Address: **ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399**

Firm CRD#: **36671**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	06/08/2020
B	FINRA	General Securities Representative	Approved	06/08/2020
B	FINRA	Operations Professional	Approved	06/08/2020
B	FINRA	Municipal Securities Representative	Approved	08/04/2023
B	Nasdaq Stock Market	General Securities Principal	Approved	06/08/2020
B	Nasdaq Stock Market	General Securities Representative	Approved	06/08/2020

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	06/08/2020

### Branch Office Locations

**PERSHING ADVISOR SOLUTIONS LLC**  
ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399

### Employment 2 of 2

Firm Name: **PERSHING LLC**

Main Office Address: **ONE PERSHING PLAZA**

## Broker Qualifications



### Employment 2 of 2, continued

JERSEY CITY, NJ 07399

Firm CRD#: 7560

SRO	Category	Status	Date
B BOX Exchange LLC	General Securities Principal	Approved	09/26/2017
B BOX Exchange LLC	General Securities Representative	Approved	09/26/2017
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	09/26/2017
B Cboe C2 Exchange, Inc.	General Securities Principal	Approved	07/30/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	03/03/1991
B Cboe Exchange, Inc.	General Securities Principal	Approved	07/30/2021
B FINRA	General Securities Representative	Approved	03/22/1983
B FINRA	General Securities Principal	Approved	01/07/1997
B FINRA	Operations Professional	Approved	12/14/2011
B FINRA	Municipal Securities Representative	Approved	08/04/2023
B Investors' Exchange LLC	General Securities Principal	Approved	09/26/2017
B Investors' Exchange LLC	General Securities Representative	Approved	09/26/2017
B MIAX Emerald, LLC	General Securities Principal	Approved	03/29/2019
B MIAX Emerald, LLC	General Securities Representative	Approved	03/29/2019
B MIAX PEARL, LLC	General Securities Principal	Approved	09/26/2017
B MIAX PEARL, LLC	General Securities Representative	Approved	09/26/2017
B MIAX Sapphire	General Securities Principal	Approved	08/20/2024
B MIAX Sapphire	General Securities Representative	Approved	08/20/2024
B Miami International Securities Exchange, LLC	General Securities Principal	Approved	09/26/2017
B Miami International Securities	General Securities Representative	Approved	09/26/2017



## Broker Qualifications

### Employment 2 of 2, continued

	SRO	Category	Status	Date
	Exchange, LLC			
B	NYSE American LLC	General Securities Representative	Approved	04/03/1988
B	NYSE American LLC	General Securities Principal	Approved	07/05/2005
B	NYSE American LLC	Municipal Securities Representative	Approved	08/04/2023
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/11/1992
B	NYSE Arca, Inc.	General Securities Principal	Approved	08/24/2007
B	NYSE National, Inc.	General Securities Principal	Approved	06/19/2018
B	NYSE National, Inc.	General Securities Representative	Approved	06/19/2018
B	NYSE National, Inc.	Municipal Securities Representative	Approved	08/04/2023
B	NYSE Texas, Inc.	General Securities Principal	Approved	09/26/2017
B	NYSE Texas, Inc.	General Securities Representative	Approved	09/26/2017
B	Nasdaq BX, Inc.	General Securities Principal	Approved	03/16/2009
B	Nasdaq BX, Inc.	General Securities Representative	Approved	03/16/2009
B	Nasdaq GEMX, LLC	General Securities Principal	Approved	09/26/2017
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	09/26/2017
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/30/2008
B	Nasdaq ISE, LLC	General Securities Principal	Approved	08/10/2011
B	Nasdaq MRX, LLC	General Securities Principal	Approved	09/26/2017
B	Nasdaq MRX, LLC	General Securities Representative	Approved	09/26/2017
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/16/1993
B	Nasdaq PHLX LLC	General Securities Principal	Approved	07/28/2010
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006



## Broker Qualifications

### Employment 2 of 2, continued

SRO	Category	Status	Date
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	03/24/1983
<b>B</b> New York Stock Exchange	General Securities Principal	Approved	06/26/2010
<b>B</b> New York Stock Exchange	Municipal Securities Representative	Approved	08/04/2023

U.S. State/ Territory	Category	Status	Date
<b>B</b> Arizona	Agent	Approved	10/09/2003
<b>B</b> California	Agent	Approved	04/17/2003
<b>B</b> Illinois	Agent	Approved	04/17/2003
<b>B</b> Maryland	Agent	Approved	04/17/2003
<b>B</b> Massachusetts	Agent	Approved	04/17/2003
<b>B</b> New Jersey	Agent	Approved	02/06/1992
<b>B</b> New York	Agent	Approved	04/20/1983
<b>B</b> North Carolina	Agent	Approved	04/21/2003

### Branch Office Locations

#### PERSHING LLC

ONE PERSHING PLAZA  
JERSEY CITY, NJ 07399

#### PERSHING LLC

240 GREENWICH STREET  
NEW YORK, NY 10286



## 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, 4 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	06/03/1994

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Municipal Securities Representative Examination	Series 52TO	08/04/2023
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	03/19/1983

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	12/04/1985

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
No information reported.			

### 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
06/2020 - Present	PERSHING ADVISOR SOLUTIONS LLC	CHIEF EXECUTIVE OFFICER (CEO), GLOBAL HEAD, BOARD MEMBER	Y	JERSEY CITY, NJ, United States
07/2019 - Present	PERSHING LLC	CHIEF EXECUTIVE OFFICER (CEO), GLOBAL HEAD, BOARD MEMBER	Y	JERSEY CITY, NJ, United States
10/2015 - 05/2020	PERSHING ADVISOR SOLUTIONS LLC	BOARD MEMBER	Y	JERSEY CITY, NJ, United States
01/2003 - 07/2019	PERSHING LLC	CHIEF OPERATING OFFICER (COO), BOARD MEMBER	Y	JERSEY CITY, 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.

SECURITIES INDUSTRY AND FINANCIAL MARKETS ASSOCIATION (SIFMA);  
INVESTMENT-RELATED;  
1009 NEW YORK AVENUE, NW  
6TH FLOOR  
WASHINGTON, D.C.;



## Registration and Employment History

### Other Business Activities, continued

STARTED - 02/2020;  
 DIRECTOR;  
 BOARD OF DIRECTORS;  
 0 HOURS SPENT PER MONTH DURING BUSINESS TRADING HOURS;  
 3 HOURS SPENT PER MONTH DURING NON-BUSINESS TRADING HOURS.

FINANCIAL SERVICES INSTITUTE;  
 INVESTMENT RELATED;  
 1201 Pennsylvania Avenue  
 Washington, D.C.;  
 STARTED - 02/2020;  
 DIRECTOR;  
 ADVOCATE FOR INDEPENDENT FINANCIAL SERVICES FIRMS AND INDEPENDENT FINANCIAL ADVISORS;  
 0 HOURS SPENT PER MONTH DURING BUSINESS TRADING HOURS;  
 3 HOURS SPENT PER MONTH DURING NON-BUSINESS TRADING HOURS.

Name of OBA: FINRA;  
 Is the business investment-related?: No;  
 Address of the business (city/state): Washington, D.C.;  
 Nature of the business: Finance & Insurance;  
 Your position: Board of Director for FINRA Board of Governors;  
 Your title: Chief Executive officer BNYMellon | Pershing;  
 Start date: Sept. 1, 2021;  
 Approximate number of hours per month you devote to the business: 4;  
 Approximate number of hours you devote to the business during securities trading hours: 0;  
 Brief description of your duties: FINRA is government-authorized not-for-profit organization that oversees U.S. broker-dealers.;

Name of OBA: Big Brother Big Sisters of Essex, Union and Hudson Co NJ;  
 Is the business investment-related?: No;  
 Address of the business (city/state): Newark, NJ;  
 Nature of the business: Foundation/Endowment;  
 Your position: Member of Advisory Board;  
 Your title: Board Observer;  
 Start date: 11/14/2023;  
 Approximate number of hours per month you devote to the business: 1;  
 Approximate number of hours you devote to the business during securities trading hours: None;  
 Brief description of your duties: Big Brothers Big Sisters of Essex, Hudson & Union Counties work with volunteers, parents and families to create one-to-one mentoring relationships that defend, inspire and empower the potential that lives within every kid. Role will entail supporting the foundation's mission as a member of the advisory board.

## End of Report



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