

BrokerCheck Report

PATRICIA ROSE DIANA

CRD# 1203138

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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:
 - 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.

**PATRICIA R. DIANA**

CRD# 1203138

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

IA RBC CAPITAL MARKETS, LLC
 111 S WACKER DRIVE
 SUITE 3200
 CHICAGO, IL 60606
 CRD# 31194
 Registered with this firm since: 08/24/2015

B RBC CAPITAL MARKETS, LLC
 111 S WACKER DRIVE
 SUITE 3200
 CHICAGO, IL 60606
 CRD# 31194
 Registered with this firm since: 08/24/2015

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
- 51 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA MORGAN STANLEY**
 CRD# 149777
 PURCHASE, NY
 10/2010 - 08/2015
- B MORGAN STANLEY**
 CRD# 149777
 OAK BROOK, IL
 10/2010 - 08/2015
- IA RBC CAPITAL MARKETS CORPORATION**
 CRD# 31194
 NEW YORK, NY
 01/2008 - 09/2010

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 22 SROs and is licensed in 51 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	08/24/2015
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	08/24/2015
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 C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	08/24/2015
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	08/24/2015
B	FINRA	General Securities Representative	Approved	08/24/2015
B	FINRA	General Securities Sales Supervisor	Approved	08/24/2015
B	Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/02/2020
B MEMX LLC	General Securities Representative	Approved	11/02/2020
B MEMX LLC	General Securities Sales Supervisor	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/01/2020
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	11/01/2020
B NYSE American LLC	General Securities Representative	Approved	08/24/2015
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	08/24/2015
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	08/24/2015
B NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq BX, Inc.	General Securities Representative	Approved	08/24/2015
B Nasdaq BX, Inc.	General Securities Sales Supervisor	Approved	08/24/2015
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	11/18/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	08/24/2015
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/24/2015
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	08/24/2015
B Nasdaq Stock Market	General Securities Representative	Approved	08/24/2015

Broker Qualifications



Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	08/24/2015
B	New York Stock Exchange	General Securities Representative	Approved	08/24/2015
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/03/2017
B	Alaska	Agent	Approved	01/03/2017
B	Arizona	Agent	Approved	08/24/2015
B	Arkansas	Agent	Approved	01/03/2017
B	California	Agent	Approved	08/24/2015
B	Colorado	Agent	Approved	08/24/2015
B	Connecticut	Agent	Approved	01/03/2017
B	Delaware	Agent	Approved	01/03/2017
B	District of Columbia	Agent	Approved	01/03/2017
B	Florida	Agent	Approved	08/24/2015
B	Georgia	Agent	Approved	01/03/2017
B	Hawaii	Agent	Approved	01/03/2017
B	Idaho	Agent	Approved	01/03/2017
B	Illinois	Agent	Approved	08/24/2015
IA	Illinois	Investment Adviser Representative	Approved	08/24/2015
B	Indiana	Agent	Approved	08/24/2015
B	Iowa	Agent	Approved	08/24/2015

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kansas	Agent	Approved	08/24/2015
B	Kentucky	Agent	Approved	08/24/2015
B	Louisiana	Agent	Approved	01/03/2017
B	Maine	Agent	Approved	01/03/2017
B	Maryland	Agent	Approved	01/03/2017
B	Massachusetts	Agent	Approved	08/24/2015
B	Michigan	Agent	Approved	08/24/2015
B	Minnesota	Agent	Approved	08/24/2015
B	Mississippi	Agent	Approved	01/03/2017
B	Missouri	Agent	Approved	08/24/2015
B	Montana	Agent	Approved	08/24/2015
B	Nebraska	Agent	Approved	08/24/2015
B	Nevada	Agent	Approved	01/03/2017
B	New Hampshire	Agent	Approved	08/24/2015
B	New Jersey	Agent	Approved	01/03/2017
B	New Mexico	Agent	Approved	01/03/2017
B	New York	Agent	Approved	08/24/2015
B	North Carolina	Agent	Approved	08/27/2015
B	North Dakota	Agent	Approved	01/03/2017
B	Ohio	Agent	Approved	08/24/2015
B	Oklahoma	Agent	Approved	01/03/2017



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Oregon	Agent	Approved	01/03/2017
B	Pennsylvania	Agent	Approved	08/24/2015
B	Rhode Island	Agent	Approved	01/03/2017
B	South Carolina	Agent	Approved	01/03/2017
B	South Dakota	Agent	Approved	01/03/2017
B	Tennessee	Agent	Approved	01/03/2017
B	Texas	Agent	Approved	08/24/2015
IA	Texas	Investment Adviser Representative	Approved	08/24/2015
B	Utah	Agent	Approved	08/24/2015
B	Vermont	Agent	Approved	01/03/2017
B	Virginia	Agent	Approved	08/24/2015
B	Washington	Agent	Approved	08/24/2015
B	West Virginia	Agent	Approved	01/03/2017
B	Wisconsin	Agent	Approved	08/24/2015
B	Wyoming	Agent	Approved	01/03/2017

Branch Office Locations

RBC CAPITAL MARKETS, LLC
 111 S WACKER DRIVE
 SUITE 3200
 CHICAGO, IL 60606

RBC CAPITAL MARKETS, LLC
 Chicago, IL

Broker Qualifications



Employment 1 of 1, continued

RBC CAPITAL MARKETS, LLC

7420 West College Drive
Suite 200
Palos Heights, IL 60463



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	08/10/2010
B General Securities Sales Supervisor - Options Module Examination	Series 9	05/27/2010

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/17/2007

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	01/17/2008

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 10/2010 - 08/2015	MORGAN STANLEY	149777	OAK BROOK, IL
IA 10/2010 - 08/2015	MORGAN STANLEY	149777	OAK BROOK, IL
IA 01/2008 - 09/2010	RBC CAPITAL MARKETS CORPORATION	31194	CHICAGO, IL
B 12/2007 - 09/2010	RBC CAPITAL MARKETS CORPORATION	31194	CHICAGO, IL
B 04/1987 - 05/1993	DEAN WITTER REYNOLDS INC.	7556	
B 05/1986 - 09/1986	COLUMBIAN SECURITIES, INC.	1499	

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
08/2015 - Present	RBC CAPITAL MARKETS, LLC	REGISTERED REPRESENTATIVE	Y	CHICAGO, IL, 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.

1) NOTARY PUBLIC OF ILLINOIS; NOTARIZING SIGNATURES; LESS THAN ONE HOUR PER MONTH IS DEVOTED DURING TRADING HOURS

2) NAME: Chicago Board of Elections

Non-Investment related

ADDRESS: 69 W Washington St, Suite 600 Chicago, IL 60602

NATURE OF BUSINESS: city election board

POSITION: Election Judge

Start Date: 06/28/22

Registration and Employment History



Other Business Activities, continued

Hours: 14 hours - 1 day only

Duties: Manage the polling place and assist voters on election day.

End of Report



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