

BrokerCheck Report

ALLISON JOAN SALOY

CRD# 4500916

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 9
Registration and Employment History	11 - 12



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.

**ALLISON J. SALOY**

CRD# 4500916

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

IA TCW INVESTMENT MANAGEMENT COMPANY LLC
 1251 Avenue of the Americas
 Suite 4700
 New York, NY 10020
 CRD# 106546
 Registered with this firm since: 12/24/2024

B TCW FUNDS DISTRIBUTORS LLC
 1251 AVENUE OF THE AMERICAS
 SUITE 4700
 NEW YORK, NY 10020
 CRD# 16670
 Registered with this firm since: 12/24/2024

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
- 53 U.S. states and territories

This broker has passed:

- 0 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 NEUBERGER BERMAN BD LLC**
 CRD# 2908
 NEW YORK, NY
 11/2007 - 11/2024
- B NEUBERGER BERMAN BD LLC**
 CRD# 2908
 NEW YORK, NY
 10/2007 - 11/2024
- IA NEUBERGER BERMAN MANAGEMENT INC.**
 CRD# 5493
 NEW YORK, NY
 08/2004 - 10/2007

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 1 SRO and is licensed in 53 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **TCW FUNDS DISTRIBUTORS LLC**

Main Office Address: **515 SOUTH FLOWER STREET
LOS ANGELES, CA 90071**

Firm CRD#: **16670**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	12/24/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	12/24/2024
B	Alaska	Agent	Approved	12/24/2024
B	Arizona	Agent	Approved	12/24/2024
B	Arkansas	Agent	Approved	12/24/2024
B	California	Agent	Approved	12/24/2024
B	Colorado	Agent	Approved	12/24/2024
B	Connecticut	Agent	Approved	12/24/2024
B	Delaware	Agent	Approved	12/24/2024
B	District of Columbia	Agent	Approved	12/24/2024
B	Florida	Agent	Approved	12/24/2024
B	Georgia	Agent	Approved	12/24/2024
B	Hawaii	Agent	Approved	12/24/2024

Broker Qualifications



Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Idaho	Agent	Approved	12/24/2024
B	Illinois	Agent	Approved	12/24/2024
B	Indiana	Agent	Approved	12/24/2024
B	Iowa	Agent	Approved	12/24/2024
B	Kansas	Agent	Approved	12/24/2024
B	Kentucky	Agent	Approved	12/24/2024
B	Louisiana	Agent	Approved	12/24/2024
B	Maine	Agent	Approved	12/24/2024
B	Maryland	Agent	Approved	12/24/2024
B	Massachusetts	Agent	Approved	12/24/2024
B	Michigan	Agent	Approved	12/24/2024
B	Minnesota	Agent	Approved	12/24/2024
B	Mississippi	Agent	Approved	12/24/2024
B	Missouri	Agent	Approved	12/24/2024
B	Montana	Agent	Approved	12/24/2024
B	Nebraska	Agent	Approved	12/24/2024
B	Nevada	Agent	Approved	12/24/2024
B	New Hampshire	Agent	Approved	12/24/2024
B	New Jersey	Agent	Approved	12/24/2024
B	New Mexico	Agent	Approved	12/24/2024
B	New York	Agent	Approved	12/24/2024

Broker Qualifications



Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	12/24/2024
B	North Dakota	Agent	Approved	12/24/2024
B	Ohio	Agent	Approved	12/26/2024
B	Oklahoma	Agent	Approved	12/24/2024
B	Oregon	Agent	Approved	12/24/2024
B	Pennsylvania	Agent	Approved	12/24/2024
B	Puerto Rico	Agent	Approved	12/24/2024
B	Rhode Island	Agent	Approved	12/24/2024
B	South Carolina	Agent	Approved	12/24/2024
B	South Dakota	Agent	Approved	12/24/2024
B	Tennessee	Agent	Approved	12/24/2024
B	Texas	Agent	Approved	12/24/2024
B	Utah	Agent	Approved	12/24/2024
B	Vermont	Agent	Approved	12/24/2024
B	Virgin Islands	Agent	Approved	12/24/2024
B	Virginia	Agent	Approved	12/24/2024
B	Washington	Agent	Approved	12/24/2024
B	West Virginia	Agent	Approved	12/24/2024
B	Wisconsin	Agent	Approved	12/24/2024
B	Wyoming	Agent	Approved	12/24/2024



Broker Qualifications

Employment 1 of 2, continued Branch Office Locations

TCW FUNDS DISTRIBUTORS LLC
1251 AVENUE OF THE AMERICAS
SUITE 4700
NEW YORK, NY 10020

Employment 2 of 2

Firm Name: **TCW INVESTMENT MANAGEMENT COMPANY LLC**
Main Office Address: **515 SOUTH FLOWER STREET**
LOS ANGELES, CA 90071
Firm CRD#: **106546**

	U.S. State/ Territory	Category	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	12/26/2024
IA	Alaska	Investment Adviser Representative	Approved	12/26/2024
IA	Arizona	Investment Adviser Representative	Approved	07/10/2025
IA	Arkansas	Investment Adviser Representative	Approved	01/02/2025
IA	California	Investment Adviser Representative	Approved	12/26/2024
IA	Colorado	Investment Adviser Representative	Approved	01/02/2025
IA	Connecticut	Investment Adviser Representative	Approved	01/02/2025
IA	Delaware	Investment Adviser Representative	Approved	01/07/2025
IA	District of Columbia	Investment Adviser Representative	Approved	02/20/2025
IA	Florida	Investment Adviser Representative	Approved	01/23/2025
IA	Georgia	Investment Adviser Representative	Approved	03/31/2025
IA	Hawaii	Investment Adviser Representative	Approved	12/26/2024
IA	Idaho	Investment Adviser Representative	Approved	01/06/2025

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	01/06/2025
IA	Indiana	Investment Adviser Representative	Approved	01/06/2025
IA	Iowa	Investment Adviser Representative	Approved	01/03/2025
IA	Kansas	Investment Adviser Representative	Approved	12/26/2024
IA	Kentucky	Investment Adviser Representative	Approved	01/03/2025
IA	Louisiana	Investment Adviser Representative	Approved	01/02/2025
IA	Maine	Investment Adviser Representative	Approved	01/06/2025
IA	Maryland	Investment Adviser Representative	Approved	01/06/2025
IA	Massachusetts	Investment Adviser Representative	Approved	02/14/2025
IA	Michigan	Investment Adviser Representative	Approved	01/02/2025
IA	Minnesota	Investment Adviser Representative	Approved	12/26/2024
IA	Mississippi	Investment Adviser Representative	Approved	01/06/2025
IA	Missouri	Investment Adviser Representative	Approved	12/26/2024
IA	Montana	Investment Adviser Representative	Approved	01/09/2025
IA	Nebraska	Investment Adviser Representative	Approved	01/03/2025
IA	Nevada	Investment Adviser Representative	Approved	01/02/2025
IA	New Hampshire	Investment Adviser Representative	Approved	01/06/2025
IA	New Jersey	Investment Adviser Representative	Approved	12/26/2024
IA	New Mexico	Investment Adviser Representative	Approved	01/02/2025
IA	New York	Investment Adviser Representative	Approved	12/24/2024
IA	North Carolina	Investment Adviser Representative	Approved	01/02/2025

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	North Dakota	Investment Adviser Representative	Approved	01/08/2025
IA	Ohio	Investment Adviser Representative	Approved	01/03/2025
IA	Oklahoma	Investment Adviser Representative	Approved	01/06/2025
IA	Oregon	Investment Adviser Representative	Approved	01/16/2025
IA	Pennsylvania	Investment Adviser Representative	Approved	12/26/2024
IA	Puerto Rico	Investment Adviser Representative	Approved	12/26/2024
IA	Rhode Island	Investment Adviser Representative	Approved	12/26/2024
IA	South Carolina	Investment Adviser Representative	Approved	12/26/2024
IA	South Dakota	Investment Adviser Representative	Approved	12/26/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	12/26/2024
IA	Utah	Investment Adviser Representative	Approved	01/02/2025
IA	Vermont	Investment Adviser Representative	Approved	12/26/2024
IA	Virgin Islands	Investment Adviser Representative	Approved	01/02/2025
IA	Virginia	Investment Adviser Representative	Approved	12/26/2024
IA	Washington	Investment Adviser Representative	Approved	12/26/2024
IA	West Virginia	Investment Adviser Representative	Approved	12/26/2024
IA	Wisconsin	Investment Adviser Representative	Approved	01/02/2025
IA	Wyoming	Investment Adviser Representative	Approved	01/23/2025

Branch Office Locations

515 SOUTH FLOWER STREET

Broker Qualifications



Employment 2 of 2, continued

LOS ANGELES, CA 90071

1251 Avenue of the Americas
Suite 4700
New York, NY 10020



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, 2 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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	04/13/2002

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/29/2002

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.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	11/2007 - 11/2024	NEUBERGER BERMAN BD LLC	2908	NEW YORK, NY
B	10/2007 - 11/2024	NEUBERGER BERMAN BD LLC	2908	NEW YORK, NY
B	08/2004 - 10/2007	NEUBERGER BERMAN MANAGEMENT INC.	5493	NEW YORK, NY
IA	08/2004 - 10/2007	NEUBERGER BERMAN MANAGEMENT INC.	5493	NEW YORK, NY
IA	04/2003 - 08/2004	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	NEW YORK, NY
B	04/2002 - 08/2004	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	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	Employer Name	Position	Investment Related	Employer Location
12/2024 - Present	TCW Funds Distributors	General Securities Representative	Y	Los Angeles, CA, United States
12/2024 - Present	TCW LLC	MD, Strategic Wealth Accounts	Y	Los Angeles, CA, United States
10/2007 - 10/2024	NEUBERGER BERMAN, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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. PowerPlay NYC

Investment Related?: No



Registration and Employment History

Other Business Activities, continued

Nature of the Business: Non profit Organization

Address of the Business: 4 W 43rd Street, New York, NY 10036

Position: Board Member

Start Date: May 2019

Hours Devoted: 5 hours

Hours Devoted during Security Trading: 0 hours

Duties: Board Member

2. Villanova Women's Lacrosse Alumni Board

Investment Related?: No

Nature of the Business: Non profit Organization

Address of the Business: 800 Lancaster Ave, Villanova, PA 19085

Position: Board Member

Start Date: May 2019

Hours Devoted: 5 hours

Hours Devoted during Security Trading: 0 hours

Duties: Board Member

3. Bobby's Baseball Buddies Inc

Investment Related?: No

Nature of the Business: Non profit Organization

Address of the Business: 497 Whiton Road, Branchburg NJ 08853

Position: Board Member

Start Date: May 2023

Hours Devoted: 5 hours

Hours Devoted during Security Trading: 0 hours

Duties: Board Member

End of Report



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