



IAPD Report

NAN J GINGER

CRD# 1061370

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

NAN J GINGER (CRD# 1061370)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROCKEFELLER CAPITAL MANAGEMENT	CRD# 291361	11/29/2024
B	ROCKEFELLER FINANCIAL LLC	CRD# 291361	11/29/2024
IA	ROCKEFELLER CAPITAL MANAGEMENT	CRD# 294197	10/07/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ROGERS, AR	04/07/1986 - 12/03/2024
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ROGERS, AR	08/24/1982 - 12/03/2024

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **31** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ROCKEFELLER CAPITAL MANAGEMENT**
Main Address: 45 ROCKEFELLER PLAZA
FLOOR 5
NEW YORK, NY 10111
Firm ID#: 291361

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/29/2024
B	Alabama	Agent	Approved	11/29/2024
B	Arizona	Agent	Approved	11/29/2024
B	Arkansas	Agent	Approved	11/29/2024
IA	Arkansas	Investment Adviser Representative	Approved	11/29/2024
B	California	Agent	Approved	11/29/2024
B	Colorado	Agent	Approved	11/29/2024
B	Delaware	Agent	Approved	10/16/2025
B	Florida	Agent	Approved	11/29/2024
B	Georgia	Agent	Approved	11/29/2024
B	Idaho	Agent	Approved	11/29/2024
B	Illinois	Agent	Approved	11/29/2024
B	Indiana	Agent	Approved	11/29/2024



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	11/29/2024
B Kentucky	Agent	Approved	11/29/2024
B Louisiana	Agent	Approved	11/29/2024
B Maryland	Agent	Approved	11/29/2024
B Minnesota	Agent	Approved	03/30/2026
B Missouri	Agent	Approved	11/29/2024
B Montana	Agent	Approved	11/29/2024
B Nevada	Agent	Approved	11/29/2024
B New Hampshire	Agent	Approved	11/29/2024
B New Jersey	Agent	Approved	11/29/2024
B New York	Agent	Approved	11/29/2024
B North Carolina	Agent	Approved	11/29/2024
B Ohio	Agent	Approved	11/29/2024
B Oklahoma	Agent	Approved	11/29/2024
B Oregon	Agent	Approved	11/29/2024
B Pennsylvania	Agent	Approved	11/29/2024
B South Carolina	Agent	Approved	11/29/2024
B Tennessee	Agent	Approved	11/29/2024
B Texas	Agent	Approved	11/29/2024



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	11/29/2024
B Virginia	Agent	Approved	11/29/2024

Branch Office Locations

ROCKEFELLER CAPITAL MANAGEMENT

609 SW 8th Street, 6th floor
Bentonville, AR 72712

Employment 2 of 2

Firm Name: **ROCKEFELLER CAPITAL MANAGEMENT**
 Main Address: 45 ROCKEFELLER PLAZA
 FLOOR 5
 NEW YORK, NY 10111
 Firm ID#: 294197

Regulator	Registration	Status	Date
IA Arkansas	Investment Adviser Representative	Approved	10/09/2025
IA Texas	Investment Adviser Representative	Restricted Approval	10/07/2025

Branch Office Locations

ROCKEFELLER CAPITAL MANAGEMENT

609 SW 8th Street, 6th floor
Bentonville, AR 72712



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	08/21/1982
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/11/1992
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B Uniform Securities Agent State Law Examination (S63)	Series 63	10/04/1982
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	04/07/1986 - 12/03/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	ROGERS, AR
B	08/24/1982 - 12/03/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	ROGERS, AR

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2024 - Present	ROCKEFELLER FINANCIAL LLC	MANAGING DIRECTOR	Y	FAYETTEVILLE, AR, United States
12/2009 - 11/2024	BANK OF AMERICA,NA	FINANCIAL ADVISOR	Y	ROGERS, AR, United States
03/1982 - 11/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	OTHER - REPRESENTATIVE	Y	FAYETTEVILLE, AR, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

I*1055426For profit or not for profit: Entity For Profit Name of outside business organization: NWARECO LLC Investment related: No Address of business: Fayetteville, ArkansasNature of business: ["Limited Liability Company"]Position, title, association: ["Owner"], Start date of relationship: 9/21/2018Number of hours devoted: 1 hour(s) Monthly Number of hours devoted during trading hours: 0Duties: , I use the entity to purchase real estate

I*1882306Entity For Profit Name of OBA: Pointer Lane LLC Address: Fayetteville, Arkansas, 72701Investment Related: No Position, Title, Association: Owner Employee Start Date: 05/10/2024No Hours: 1No Hours during trading: 0Duties: Own rental real estate. I will pay taxes and insurance. Management company responsible for all else.

I*1882303Entity For Profit Name of OBA: 28th Street Bentonville LLC Address: Fayetteville, Arkansas, 72701Investment Related: No Position, Title, Association: Owner Employee Start Date: 05/01/2024No Hours: 1No Hours during trading: 0Duties: Raw Land Purchase - Pay taxes and oversee maintenance of lot.

I*1882307Entity For Profit Name of OBA: Hunters Ridge Fayetteville LLC Address: Fayetteville, Arkansas, 72701Investment Related: No Position, Title, Association: Owner Employee Start Date: 05/01/2024No Hours: 1No Hours during trading: 0Duties: Rental Real Estate - I will pay taxes and insurance. Management company will do rest.

I*1882302Entity For Profit Name of OBA: Historic District Fayetteville LLC Address: Fayetteville, Arkansas, 72701Investment Related: No Position, Title, Association: Owner Employee Start Date: 05/01/2024No Hours: 1No Hours during trading: 0Duties: I



Registration & Employment History



OTHER BUSINESS ACTIVITIES

use this entity to purchase real estate used as AirBNB. I am the only member. I have to pay the taxes and insurance and oversee the real estate I've purchased. Someone else manages the rentals.

I*1882304 Entity For Profit Name of OBA: South Duncan Fayetteville LLC Address: Fayetteville, Arkansas, 72701 Investment Related: No Position, Title, Association: Owner Employee Start Date: 05/01/2024 No Hours: 1 No Hours during trading: 0 Duties: Pay taxes and insurance. Authorize repairs by Management Company.

I*1882305, Entity Type Entity For Profit, Name of OBA: Berry Street LLC Address: Fayetteville Arkansas 72701 Investment Related: No Position, Title, Association: Owner Employee Start Date: 05/01/2024 No Hours: 1 monthly No Hours during trading: 0 Duties: Own Rental Real Estate - apartments. Will collect income and pay all bills.

I*2059279, Entity Type Entity For Profit, Name of OBA: NJG Family Partnership GP LLC Address: Fayetteville Arkansas 72701 Investment Related: No Position, Title, Association: General Partner/Managing Member Employee Start Date: 05/01/2024 No Hours: 0; No Hours during trading: 0 Duties: Created to own the 1% General Partner interest in the NJG Family Limited Partnership

I*2060275, Entity Type Entity For Profit, Name of OBA: NJG Family Limited Partnership Address: Fayetteville Arkansas 72701 Investment Related: No Position, Title, Association: General Partner/Managing Member Employee Start Date: 05/01/2024 No Hours: 0; No Hours during trading: 0 Duties: It 100% owns the other LLCs I have already reported.

1669 Cedar Street; Investment Related; Fayetteville, AR 72701; Real Estate; Part Owner; 05/01/2024; 1 hour per month; 0 hours during trading hours; Rental Real Estate.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	ESCESSIVE AND UNAUTHORIZED TRANSACTIONS IN UNSUITABLE SECURITIES, I.E., LIMITED PARTNERSHIPS-\$245,025.00.
Product Type:	
Alleged Damages:	\$245,025.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-00700
Date Notice/Process Served:	08/01/1991



Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	03/23/1992
Monetary Compensation Amount:	\$86,000.00
Individual Contribution Amount:	
Broker Statement	<p>MERRILL LYNCH WAS ORDERED TO PURCHASE LIMITED PARTNERSHIPS IN [CUSTOMER'S] ACCOUNT FOR \$86,000.00 - NO INTEREST AWARDED THE CLAIMS WERE BASED ON ALLEGED [REDACTED] DISEASE SUFFERED BY [CUSTOMER]. AT THE TIME OF THE TRANSACTIONS [CUSTOMER] DID NOT SUFFER FROM [REDACTED] AND THE PANEL MERELY ORDERED MERRILL LYNCH TO BUY THE LIMITED PARTNERSHIPS AT THE VALUE REFLECTED FOR THE PARTNERSHIPS ON THE MONTHLY STATEMENTS. THE PANEL THEN DENIED ALL OTHER CLAIMS. THERE WAS NO EVIDENCE OF ANY IMPROPER ACTIVITY BY MS. JORGENSEN.</p>



End of Report

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