IAPD Report

LEONARD JAY SUSKIND

CRD# 1140599

Section Title	Page(s)

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

LEONARD JAY SUSKIND (CRD# 1140599)

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 **05/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROCKEFELLER CAPITAL MANAGEMENT	CRD# 291361	06/27/2025
B	ROCKEFELLER FINANCIAL LLC	CRD# 291361	06/27/2025
IA	ROCKEFELLER CAPITAL MANAGEMENT	CRD# 294197	06/27/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	UBS FINANCIAL SERVICES INC.	8174	Hallandale Beach, FL	02/28/2013 - 07/23/2025
B	UBS FINANCIAL SERVICES INC.	8174	Hallandale Beach, FL	02/27/2013 - 07/23/2025
B	MORGAN STANLEY	149777	AVENTURA, FL	06/01/2009 - 03/11/2013

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	5

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 **24** 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	06/27/2025
B	California	Agent	Approved	06/27/2025
B	Colorado	Agent	Approved	07/08/2025
B	Connecticut	Agent	Approved	06/27/2025
B	District of Columbia	Agent	Approved	06/27/2025
B	Florida	Agent	Approved	06/27/2025
IA	Florida	Investment Adviser Representative	Approved	07/07/2025
B	Georgia	Agent	Approved	06/27/2025
B	Hawaii	Agent	Approved	08/29/2025
B	Illinois	Agent	Approved	08/20/2025
B	Kentucky	Agent	Approved	06/27/2025
B	Maryland	Agent	Approved	07/07/2025
B	Massachusetts	Agent	Approved	08/27/2025

Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	07/28/2025
B	Mississippi	Agent	Approved	07/07/2025
B	Nevada	Agent	Approved	06/27/2025
B	New Jersey	Agent	Approved	06/27/2025
B	New York	Agent	Approved	06/27/2025
B	North Carolina	Agent	Approved	07/24/2025
B	Pennsylvania	Agent	Approved	06/27/2025
B	Rhode Island	Agent	Approved	07/24/2025
B	South Carolina	Agent	Approved	07/08/2025
B	Texas	Agent	Approved	06/27/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	06/27/2025
B	Utah	Agent	Approved	06/27/2025
B	Vermont	Agent	Approved	06/27/2025
B	Virginia	Agent	Approved	06/27/2025

Branch Office Locations

ROCKEFELLER CAPITAL MANAGEMENT
515 E Las Olas Blvd
SUITE 1650
FORT LAUDERDALE, FL 33301

Employment 2 of 2

Firm Name:	**ROCKEFELLER CAPITAL MANAGEMENT**
Main Address:	45 ROCKEFELLER PLAZA FLOOR 5

Qualifications

	NEW YORK, NY 10111
Firm ID#:	294197

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	07/10/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	06/27/2025

Branch Office Locations

ROCKEFELLER CAPITAL MANAGEMENT
515 E LAS OLAS BLVD
SUITE 1650
FORT LAUDERDALE, FL 33301

 Report about LEONARD JAY SUSKIND.

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, 3 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)	SIE	10/01/2018
B	Foreign Currency Options Examination (S15)	Series 15	06/12/1984
B	General Securities Representative Examination (S7)	Series 7	07/16/1983

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/09/1984

PROFESSIONAL DESIGNATIONS

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

No information reported.

User Guidance

www.adviserinfo.sec.gov

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	02/28/2013 - 07/23/2025	UBS FINANCIAL SERVICES INC.	CRD# 8174	Hallandale Beach, FL
B	02/27/2013 - 07/23/2025	UBS FINANCIAL SERVICES INC.	CRD# 8174	Hallandale Beach, FL
B	06/01/2009 - 03/11/2013	MORGAN STANLEY	CRD# 149777	AVENTURA, FL
IA	06/01/2009 - 03/11/2013	MORGAN STANLEY	CRD# 149777	AVENTURA, FL
B	07/31/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	AVENTURA, FL
IA	07/31/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	AVENTURA, FL
B	07/20/1983 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY

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
06/2025 - Present	ROCKEFELLER CAPITAL MANAGEMENT	MANAGING DIRECTOR	Y	FORT LAUDERDALE, FL, United States
06/2025 - Present	ROCKEFELLER FINANCIAL LLC	MANAGING DIRECTOR	Y	FORT LAUDERDALE, FL, United States
02/2013 - 06/2025	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	AVENTURA, FL, 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.

The David Poznak Jewish Community Center United States / 5850 Pine Island Road FL / dpjcc.org/ Charity / Charity / Member of Board of directors / Start Date 7/9/2019 No No /

L&L Suskind LLC, Fort Lauderdale Fl United States-33301, Personal LLC, For personal investments, Managing Member, Consider personal investments, start date-5/14/2024

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	5

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	November 1st, 2024 to November 1st, 2024 What were the allegations against the individual? Client through his attorney alleges that representations regarding an outside investment have been revealed to be untrue and deceptive.
Product Type:	No Product
Alleged Damages:	$1,500,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/10/2025
Complaint Pending?	No
Status:	Denied
Status Date:	01/10/2025
Settlement Amount:	
Individual Contribution	

Amount:

Broker Statement This client participated in a private placement with no advise or guidance from me.

Disclosure 2 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	Claimant alleges he was over concentrated in MLPs and REITS and that UBS did not timely comply with his instruction to sell an MLP. Time frame: 2013-2016.
Product Type:	Other: MLPs and REITS
Alleged Damages:	$2,000,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16-02000
Filing date of arbitration/CFTC reparation or civil litigation:	07/21/2016

Customer Complaint Information

Date Complaint Received:	07/21/2016
Complaint Pending?	No
Status:	Settled
Status Date:	03/31/2017
Settlement Amount:	$220,000.00
Individual Contribution Amount:	$0.00
Broker Statement	I deny the allegations the client has brought against me. I have managed his company's account for over 10 years and throughout the relationship I've utilized an equity income model, which is a diversified income generating portfolio. When the client sold his home in 2014, he sent us the proceeds and requested that we open a trust account. When discussing how the funds would be allocated along with his investment objectives, the client stated that he'd paid enough taxes and did not want to continue to pay taxes, but instead preferred the deferred income an all MLP Portfolio offered. We discussed the risks involved in having a non-diversified portfolio and encouraged him to consider an income equity portfolio. He was adamant on how this account was to be invested so I agreed to manage his MLP portfolio. It should be noted that this is not a standard in my practice. The client asked that I take some losses toward the latter part of 2014 to offset the profit he made on the sale of his home. After several discussions regarding the lack of diversification with the client, he agreed to allow me to diversify a portion of the all MLP Portfolio account in early 2015.

Disclosure 3 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: CLIENT ALLEGED FC FAILED TO FOLLOW INSTRUCTIONS AND UNSUITABLE ASSET ALLOCATION.
2001-2002

Product Type: Equity - OTC

Alleged Damages: $102,692.34

Customer Complaint Information

Date Complaint Received: 01/03/2002

Complaint Pending? No

Status: Denied

Status Date: 04/24/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED.

Disclosure 4 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SHEARSON

Allegations: UNAUTHORIZED TRADING, UNSUITABILITY, FAILURE
TO FOLLOW INSTRUCTIONS IMPROPER LIQUIDATION. ALLEGED
DAMAGES:
$1,808

Product Type:

Alleged Damages: $1,808,000.00

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.; 91-01387
Date Notice/Process Served:	07/03/1991
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	03/05/1993
Monetary Compensation Amount:	$904,249.17
Individual Contribution Amount:	$0.00
Broker Statement	NASD ARBITRATORS AWARDED CLAIMANT $745,036.00 PLUS 12% INTEREST FROM 4/1/91 TO 1/10/93 IN THE AMOUNT OF $159,213.17 FOR A TOTAL AMOUNT OF $ 904,249.17. SHEARSON PAID TOTAL AWARD. FC WAS NOT ASKED TO CONTRIBUTE. BEFORE THE TRADES IN QUESTION MARCH 14 & 15, 1991, [CUSTOMER] HAD TRADED COMMODITY FUTURES AGGRESSIVELY AT PRUDENTIAL (EIGHT MONTHS) AND SHEARSON (SIX WEEKS). HIS ACCOUNTS ACCUMULATED FOREIGN CURRENCY FUTURES AT BOTH HOUSES ON MARCH 14 & 15. [CUSTOMER] HELD THE POSITION WITHOUT COMPLAINT FROM MARCH 15-27. DURING THAT TIME PERIOD, TELEPHONE RECORDS SHOW 125 CALLS FROM SUSKIND TO [CUSTOMER]. SUSKIND INSISTS THAT HE TOLD [CUSTOMER] MANY TIMES PER DAY HOW MUCH THE POSITION WAS LOSING. ON THE EVENING OF MARCH 27, [CUSTOMER] ASSERTED THAT HE HAD NOT AUTHORIZED SO LARGE A POSITION, BUT HE COULD NOT STATE THEN OR UNDER OATH HOW LARGE A POSITION HE DESIRED TO HAVE. AT THE RELEVANT TIME, [CUSTOMER] HAD $9.6 MILLION IN CASH AND A BUSINESS WORTH $35 MILLION. [CUSTOMER] WAS A CLIENT OF ALLAN YARKIN'S & DURING THIS TIME [CUSTOMER] MET A MARGIN CALL OF $300,000.

Disclosure 5 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SHEARSON
Allegations:	IMPROPER RECOMMENDATION OF AMERICA WEST CONVERTIBLE BONDS WHICH RESULTED IN A LOSS OF $ 32,554.00
Product Type:	
Alleged Damages:	$32,554.00

Customer Complaint Information

Date Complaint Received:	07/08/1992
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$16,277.00

Individual Contribution Amount:	$3,173.82
Broker Statement	SETTLED FOR THE AMOUNT OF $16,277.00 OF WHICH SUSKIND PAID $ 3,173.82. SHEARSON PAID THE BALANCE. Not Provided

End of Report

This page is intentionally left blank.