



IAPD Report

JAMES ANTHONY MANFREDONIA

CRD# 1172628

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Information	7

i 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

JAMES ANTHONY MANFREDONIA (CRD# 1172628)

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 **03/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MARCO POLO SECURITIES LLC	CRD# 46561	08/12/2021
IA	FIG TREE FINANCIALS LLC	CRD# 317013	03/01/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	BARCLAYS CAPITAL INC.	19714	NEW YORK, NY	03/08/2013 - 06/17/2015
B	BARCLAYS CAPITAL INC.	19714	NEW YORK, NY	09/30/2011 - 06/17/2015
B	MAXIM GROUP LLC	120708	NEW YORK, NY	05/16/2011 - 08/19/2011

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
Termination	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 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **MARCO POLO SECURITIES LLC**
Main Address: 1230 AVENUE OF AM
16TH FLOOR
NEW YORK, NY 10020
Firm ID#: 46561

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/12/2021
B	New Jersey	Agent	Approved	02/02/2024
B	New York	Agent	Approved	02/02/2024

Branch Office Locations

MARCO POLO SECURITIES INC.
Lavallette, NJ

Employment 2 of 2

Firm Name: **FIG TREE FINANCIALS LLC**
Main Address: NEW YORK, NY
Firm ID#: 317013

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	03/01/2022

Branch Office Locations

FIG TREE FINANCIALS LLC
NEW YORK, NY




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 1 principal/supervisory exam, 5 general industry/product exams, and 3 state securities law exams.





Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	11/27/1990

General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7TO)	Series 7TO	08/04/2021
	Securities Industry Essentials Examination (SIE)	SIE	06/22/2021
	National Commodity Futures Examination (S3)	Series 3	07/10/2014
	Limited Representative-Equity Trader Exam (S55)	Series 55	03/17/2003
	General Securities Representative Examination (S7)	Series 7	09/17/1983

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/25/2022
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/16/2021
 	Uniform Combined State Law Examination (S66)	Series 66	06/11/2013



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	03/08/2013 - 06/17/2015	BARCLAYS CAPITAL INC.	CRD# 19714	NEW YORK, NY
B	09/30/2011 - 06/17/2015	BARCLAYS CAPITAL INC.	CRD# 19714	NEW YORK, NY
B	05/16/2011 - 08/19/2011	MAXIM GROUP LLC	CRD# 120708	NEW YORK, NY
B	08/24/2010 - 05/20/2011	CUTTONE & CO., INC.	CRD# 33038	NEW YORK, NY
B	10/16/2008 - 08/19/2010	FIRST NEW YORK SECURITIES L.L.C.	CRD# 16362	NEW YORK, NY
B	06/12/2008 - 10/07/2008	DAHLMAN ROSE & COMPANY, LLC	CRD# 23510	NEW YORK, NY
B	07/18/2002 - 06/11/2008	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	06/26/1992 - 07/30/2002	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	05/17/1991 - 01/01/1992	BLAIR/MANFREDONIA LIMITED PARTNERSHIP	CRD# 26417	
B	04/08/1987 - 03/03/1990	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	
B	09/21/1983 - 01/28/1987	SALOMON BROTHERS INC.	CRD# 740	

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
10/2021 - Present	Fig Tree Financials LLC	Principal / Chief Compliance Officer / Investment Advisor Representative	Y	Lavallette, NY, United States
07/2020 - Present	Marco Polo Securities inc.	Registered Representative	Y	New York, NY, United States
01/2018 - Present	MPX Cross-Border Finance	Executive	N	New York, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2020 - 09/2020	Home	Home recovering from COVID	N	Lavallette, NJ, United States
07/2019 - 04/2020	Grace Church School	Math Teacher	N	New York, NY, United States
02/2019 - 06/2019	The Allen-Stevenson School	Math Teacher	N	New York, NY, United States
09/2017 - 09/2018	IHope Academy	Interim Head of School	N	New York, NY, United States
08/2016 - 09/2017	Democracy Prep Harlem HS	Teacher / Senior Class Advisor	N	New York, NY, United States
04/2016 - 08/2016	Unemployed	Waiting to start new job and vacationing	N	Short Hills, NJ, 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.

Mr. Manfredonia is an adjunct Professor at Fordham University. 10% of his time is dedicated to this activity. Not investment-related.

Fig Tree Financial, President Wealth Management Firm Investment related, 100 hrs. monthly.

Green Impact Exchange, Advisor, 2 hrs allocated monthly.



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
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	BARCLAYS CAPITAL INC.
Termination Type:	Discharged
Termination Date:	05/18/2015
Allegations:	ALLEGATIONS INVOLVING LACK OF DISCLOSURE AND OTHER INACCURACIES REGARDING INVOLVEMENT WITH OUTSIDE ENTITIES.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	BARCLAYS CAPITAL INC.
Termination Type:	Discharged
Termination Date:	05/01/2015
Allegations:	Outside interests
Product Type:	No Product

Broker Statement

I have a perfect record with FINRA dating back to 1983 inclusive of supervisory roles and my direct work with FINRA at the NYSE.

My departure from Barclays was disputed and evidenced by my manager, Mark Stevenson, telling me no action would be taken subsequent to our clarifying discussion. The accusation was without merit and I was told all was fine.

Additionally, my hearing before FINRA did not result in any action.

As required annually at Barclays, I attempted to record any potential conflict of



interests including those with prospects. As was often the case with Barclays, the reporting systems were substandard and were not operational throughout the 1st quarter and into the 2nd quarter of 2015. I literally could not enter any information. I made numerous calls to tech support which was consumed by a severely problematic transition to Pershing's client portal. There are records of my attempts. Additionally, there was internal turmoil with the department in the midst of being sold to Stifel. These circumstances contributed to the misleading comments from my manager. The filing accused me of being in formal advisory role with an entity that was a documented prospect of the firm. I was simply prospecting a small company that had the potential to grow over time. There was absolutely no compensation of any kind. This was clear. The management of the said entity even met Mark Stevenson and other members of the Barclays' management team and used the Barclays' offices on several occasions.

I was in the process of becoming a teacher at the time and decided to not spend the money to appeal the Barclays' action.

I need please to repeat that I have had numerous licenses (including the 24) over the course of three decades and have managed hundreds of professionals in addition to my own production roles without a single compliance issue.



End of Report

This page is intentionally left blank.