



IAPD Report

JAMES FRANCIS MARTIN

CRD# 1218618

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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 FRANCIS MARTIN (CRD# 1218618)

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 **04/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	NORDWAND ADVISORS	CRD# 322936	11/14/2022
IA	NORDWAND INVESTMENTS, LLC	CRD# 323829	03/30/2023

QUALIFICATIONS

This representative is currently registered in **0** 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
B	MORGAN STANLEY	149777	West Conshohocken, PA	04/04/2016 - 12/02/2022
IA	MORGAN STANLEY	149777	West Conshohocken, PA	04/04/2016 - 12/02/2022
B	CREDIT SUISSE SECURITIES (USA) LLC	816	WEST CONSHOHOCKEN, PA	09/08/2008 - 05/02/2016

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	3



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 **0** SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **NORDWAND ADVISORS**
Main Address: 150 N. RADNOR CHESTER RD
SUITE A270
RADNOR, PA 19087
Firm ID#: 322936

	Regulator	Registration	Status	Date
IA	Massachusetts	Investment Adviser Representative	Approved	11/01/2023
IA	Pennsylvania	Investment Adviser Representative	Approved	11/14/2022

Branch Office Locations

NORDWAND ADVISORS
150 N. RADNOR CHESTER RD
SUITE A270
RADNOR, PA 19087

Employment 2 of 2

Firm Name: **NORDWAND INVESTMENTS, LLC**
Main Address: 150 N. RADNOR CHESTER RD
SUITE A270
RADNOR, PA 19087
Firm ID#: 323829

	Regulator	Registration	Status	Date
IA	Massachusetts	Investment Adviser Representative	Approved	11/01/2023
IA	Pennsylvania	Investment Adviser Representative	Approved	03/30/2023

Branch Office Locations

NORDWAND INVESTMENTS, LLC
150 N. RADNOR CHESTER RD
SUITE A270



Qualifications

RADNOR, PA 19087





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 2 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
 Financial and Operations Principal Examination (S27)	Series 27	05/22/1989
 General Securities Principal Examination (S24)	Series 24	05/16/1989

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Foreign Currency Options Examination (S15)	Series 15	04/26/1984
 General Securities Representative Examination (S7)	Series 7	04/14/1984
 Interest Rate Options Examination (S5)	Series 5	03/30/1984
 National Commodity Futures Examination (S3)	Series 3	03/16/1984

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	09/12/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/22/1984



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
B	04/04/2016 - 12/02/2022	MORGAN STANLEY	CRD# 149777	West Conshohocken, PA
IA	04/04/2016 - 12/02/2022	MORGAN STANLEY	CRD# 149777	West Conshohocken, PA
B	09/08/2008 - 05/02/2016	CREDIT SUISSE SECURITIES (USA) LLC	CRD# 816	WEST CONSHOHOCKE
IA	09/08/2008 - 05/02/2016	CREDIT SUISSE SECURITIES (USA) LLC	CRD# 816	WEST CONSHOHOCKE
IA	03/17/2008 - 09/30/2008	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	PHILADELPHIA, PA
B	07/03/2003 - 09/30/2008	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	PHILADELPHIA, PA
B	11/03/2000 - 07/25/2003	CREDIT SUISSE FIRST BOSTON LLC	CRD# 816	NEW YORK, NY
B	12/20/1991 - 01/17/2003	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	JERSEY CITY, NJ
B	11/05/1990 - 12/21/1991	WERTHEIM SCHRODER & CO. INCORPORATED	CRD# 6112	NEW YORK, NY
B	05/21/1990 - 11/09/1990	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	07/05/1989 - 05/24/1990	LAUB MARTIN INC.	CRD# 24492	
B	04/18/1984 - 06/06/1989	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

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
03/2023 - Present	Nordwand Investments	CEO	Y	Radnor, PA, United States
11/2022 - Present	Nordwand Advisors	CEO	Y	Radnor, PA, United States
05/2016 - 11/2022	Morgan Stanley Private Bank, N.A.	Financial Advisor	Y	New York, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2016 - 11/2022	Morgan Stanley	Financial Advisor	Y	West Conshohocken, PA, 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.

RCBR Investments, LLC; Media PA, DE; INVESTMENT RELATED; SOLE PROPRIETOR/OWNER/PARTNER; MANAGING MEMBER; 04/2016; 0,1

LMG Investments; Brunswick NJ; Owner; Investment related; 1999; 0,1



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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY
Allegations:	CLIENT'S ATTORNEY ALLEGED, INTER ALIA, THAT THE FA SOLICITED A PERSONAL LOAN OF \$303600 FROM THE CLIENT IN DECEMBER 2020 WHICH HE HAS REFUSED TO REPAY UNLESS THE CLIENT GRANTS HIM A BROAD RELEASE
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$303,600.00
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:	04/02/2026
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION

Allegations: CLAIMANTS' CLAIMS INCLUDE ALLEGATIONS OF BREACH OF FIDUCIARY DUTY, MISREPRESENTATION, VIOLATIONS OF MICHIGAN BLUE SKY LAWS AND BREACH OF CONTRACT. AMENDED STATEMENT OF CLAIM RECEIVED ON MARCH 24, 2005 INCLUDED ADDITIONAL ALLEGATIONS OF UNAUTHORIZED TRADING, MISMARKING OF TRADE TICKETS AND EXCESSIVE TRADING. MR. MARTIN AND CSFB DENY ALL ALLEGATIONS OF WRONGDOING

Product Type: Equity - OTC

Alleged Damages: \$1,294,128.00

Customer Complaint Information

Date Complaint Received: 10/28/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/28/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DISPUTE RESOLUTION CASE NUMBER 03-07077

Date Notice/Process Served: 03/24/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/09/2005

Monetary Compensation Amount: \$275,000.00

Individual Contribution Amount: \$75,000.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION

Allegations: CUSTOMERS CLAIM UNSUITABLE EQUITY RECOMMENDATIONS, BREACH OF FIDUCIARY DUTY FOR RECOMMENDING UNSUITABLE INVESTMENTS, FRAUDULENT MISREPRESENTATION, VIOLATIONS OF MICHIGAN'S BLUE SKY LAWS.

Product Type: Equity - OTC

Alleged Damages: \$1,100,000.00



Customer Complaint Information

Date Complaint Received: 10/20/2003
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 10/20/2003
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 03-07077
Date Notice/Process Served: 10/20/2003
Arbitration Pending? No
Disposition: Settled
Disposition Date: 05/09/2005
Monetary Compensation Amount: \$275,000.00
Individual Contribution Amount: \$75,000.00

Disclosure 3 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: CREDIT SUISSE FIRST BOSTON LLC
Allegations: CLIENT'S COMPLAINT INCUDES ALLEGATIONS OF UNSUITABILITY AND UNAUTHORIZED TRADES. MR. MARTIN DENIES ALL ALLEGATIONS OF WRONGDOING.
Product Type: Debt - Corporate
Alleged Damages: \$320,000.00

Customer Complaint Information

Date Complaint Received: 11/15/2002
Complaint Pending? No
Status: Settled
Status Date: 08/02/2003
Settlement Amount: \$65,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when CREDIT SUISSE FIRST BOSTON LLC



activities occurred which led to the complaint:

Allegations: CLIENT'S COMPLAINT INCLUDES ALLEGATIONS OF UNSUITABILITY AND UNAUTHORIZED TRADES. MR. MARTIN DENIES ALL ALLEGATIONS OF WRONGDOING.

Product Type: Debt - Corporate

Alleged Damages: \$320,000.00

Customer Complaint Information

Date Complaint Received: 11/15/2002

Complaint Pending? No

Status: Settled

Status Date: 08/02/2003

Settlement Amount: \$65,000.00

Individual Contribution Amount: \$0.00

Broker Statement MR. MARTIN VIGOROUSLY DENIES THE CUSTOMER'S ACCUSATIONS OF UNSUITABILITY AND UNAUTHORIZED TRADES. MR. MARTIN WAS NOT A PARTY TO THE SETTLEMENT DISCUSSIONS NOR APPROVED OF ANY SETTLEMENT. CSFB DID NOT ASK MR. MARTIN TO CONTRIBUTE TO THE SETTLEMENT NOR WILL CONTRIBUTION BE SOUGHT FROM HIM.



End of Report

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