IAPD Report

LAURENCE HEIMBURG KNOWLTON

CRD# 1383052

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

LAURENCE HEIMBURG KNOWLTON (CRD# 1383052)

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 **03/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ROCKEFELLER FINANCIAL LLC	CRD# 291361	05/14/2021
IA	ROCKEFELLER CAPITAL MANAGEMENT	CRD# 291361	11/12/2021

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
B	UBS FINANCIAL SERVICES INC.	8174	BOSTON, MA	01/28/1995 - 06/03/2021
B	KIDDER, PEABODY & CO. INCORPORATED	7613	NEW YORK, NY	05/06/1993 - 01/28/1995
B	LEHMAN BROTHERS INC.	7506	NEW YORK, NY	07/24/1985 - 05/28/1993

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	2

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 1

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	05/14/2021
B	Arizona	Agent	Approved	05/14/2021
B	California	Agent	Approved	05/14/2021
B	Colorado	Agent	Approved	06/29/2021
B	Connecticut	Agent	Approved	05/14/2021
B	Delaware	Agent	Approved	05/21/2021
B	District of Columbia	Agent	Approved	05/14/2021
B	Florida	Agent	Approved	05/14/2021
B	Georgia	Agent	Approved	05/20/2021
B	Illinois	Agent	Approved	05/20/2021
B	Louisiana	Agent	Approved	05/14/2021
B	Maine	Agent	Approved	05/17/2021
B	Maryland	Agent	Approved	05/14/2021

Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	06/14/2021
B	Michigan	Agent	Approved	05/14/2021
B	Nevada	Agent	Approved	05/14/2021
B	New Hampshire	Agent	Approved	05/14/2021
IA	New Hampshire	Investment Adviser Representative	Approved	11/12/2021
B	New Jersey	Agent	Approved	05/14/2021
B	New York	Agent	Approved	05/14/2021
B	Ohio	Agent	Approved	05/14/2021
B	Oklahoma	Agent	Approved	05/14/2021
B	Oregon	Agent	Approved	05/14/2021
B	Pennsylvania	Agent	Approved	05/14/2021
B	South Carolina	Agent	Approved	01/02/2026
B	South Dakota	Agent	Approved	06/16/2023
B	Tennessee	Agent	Approved	05/14/2021
B	Texas	Agent	Approved	05/20/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	11/12/2021
B	Utah	Agent	Approved	05/18/2021
B	Vermont	Agent	Approved	05/14/2021

Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	05/14/2021
B	Washington	Agent	Approved	05/14/2021
B	Wisconsin	Agent	Approved	05/14/2021

Branch Office Locations

ROCKEFELLER CAPITAL MANAGEMENT
RYE BEACH, NH

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 2 state securities law exams.

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	National Commodity Futures Examination (S3)	Series 3	09/03/1985
B	General Securities Representative Examination (S7)	Series 7	07/20/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/10/2021
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/31/1985

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
B	01/28/1995 - 06/03/2021	UBS FINANCIAL SERVICES INC.	CRD# 8174	BOSTON, MA
B	05/06/1993 - 01/28/1995	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	NEW YORK, NY
B	07/24/1985 - 05/28/1993	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
05/2021 - Present	ROCKEFELLER FINANCIAL LLC	Managing Director, Private Wealth Advisor	Y	RYE BEACH, NH, United States
01/1995 - 05/2021	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	BOSTON, MA, 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.

Name of business:85 Lafayette Road, LLC
ï‚§ Full business address:*5 Lafayette Road, North Hampton, NH 03862
ï‚§ the nature of the other business: Rental Property
ï‚§ Is the business investment-related: No
ï‚§ position, title, or association with the other business: Secretary
ï‚§ Please describe your duties: Administrative
ï‚§ the start date of your relationship with the business: October 2019
ï‚§ the approximate number of hours per month you devote to the business: 20 minutes
ï‚§ the number of hours you devote to the other business during securities trading hours: none

2) - 224 Atlantic Ave LLC; Investment related. North Hampton, NH; Managing Partner; 02/20/2022; 1 hours a month and 0 hours during trading hours. Rental property.

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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	Time frame: 2014-2022 Claimant, through counsel, alleges negligence, unsuitability, and misrepresentation in recommending a securities-backed line of credit. Further, Claimant alleges advisor recommended unsuitable investments.
Product Type:	Other: Equities
Alleged Damages:	$185,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Arbitration
Docket/Case #:	23-02168
Filing date of arbitration/CFTC reparation or civil litigation:	08/08/2023

Customer Complaint Information

Date Complaint Received:	08/08/2023

Complaint Pending?	No
Status:	Settled
Status Date:	01/11/2024
Settlement Amount:	$70,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	Time frame: 2014-2022 Claimant, through counsel, alleges negligence, unsuitability, and misrepresentation in recommending a securities-backed line of credit. Further, Claimant alleges advisor recommended unsuitable investments.
Product Type:	Other: Equities
Alleged Damages:	$185,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Arbitration
Docket/Case #:	23-02168
Filing date of arbitration/CFTC reparation or civil litigation:	08/08/2023

Customer Complaint Information

Date Complaint Received:	08/08/2023
Complaint Pending?	No
Status:	Settled
Status Date:	01/11/2024
Settlement Amount:	$70,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES, INC.
Allegations:	BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, VIOLATIONS OF M.G.L. C.93A

Product Type: Real Estate Security

Alleged Damages: $4,700,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA - CASE #10-05715

Date Notice/Process Served: 12/21/2010

Arbitration Pending? No

Disposition: Award

Disposition Date: 07/09/2012

Disposition Detail: KNOWLTON IS LIABLE FOR AND SHALL PAY TO A CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF $2,500 PLUS INTEREST AT THE RATE OF 12% PER ANNUM FROM MAY 18, 2012 UNTIL THE AWARD IS PAID IN FULL.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: TIME FRAME: 11/2003 TO 5/2007 CLAIMANT ALLEGES THAT THE FINANCIAL ADVISOR WAS AWARE OF HIS FORMER BUSINESS PARTNER'S OUTSIDE BUSINESS ACTIVITIES ALLEGEDLY INVOLVING CLAIMANT'S REAL ESTATE INVESTMENT AND FAILED TO ADVISE HER OF THE RISKS ASSOCIATED WITH THIS INVESTMENT.

Product Type: Other: REAL ESTATE

Alleged Damages: $4,200,000.00

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: 07/27/2009

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 11/09/2009

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #:	10-05715
Date Notice/Process Served:	01/20/2011
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/09/2012
Monetary Compensation Amount:	$2,500.00
Individual Contribution Amount:	$2,500.00

Civil Litigation Information

Type of Court:	SUPERIOR
Name of Court:	MASSACHUSETTS SUPERIOR COURT
Location of Court:	MASSACHUSETTS
Docket/Case #:	09-4369
Date Notice/Process Served:	11/09/2009
Litigation Pending?	No
Disposition:	Other: CLOSED
Disposition Date:	05/11/2010
Broker Statement	THE CASE INVOLVED MISCONDUCT BY A FORMER BUSINESS PARTNER OF MINE, THAT WAS ADMITTED TO IN WRITING AND UNDER OATH, WHICH DID NOT INVOLVE ME. IN FACT, THE MAJORITY OF THE ALLEGATIONS REGARDING ANY WRONGDOING CONCERNED A TIME AFTER I WAS NO LONGER ASSOCIATED WITH THE CLIENT IN ANY FASHION. THE CASE DID PROCEED TO HEARINGS IN WHICH AN ARBITRATION PANEL AWARDED A NOMINAL SUM AGAINST ME, WHILE ISSUING A SUBSTANTIAL AWARD AGAINST MY FORMER BUSINESS PARTNER. THE FIRM FULLY SUPPORTED ME IN THE CASE AND CONTINUES TO DO SO WITH THE CONCLUSION OF THE CASE. WHILE I AM DISAPPOINTED WITH THE DECISION TO AWARD ANYTHING AT ALL AGAINST ME, THE NOMINAL SIZE OF THE AWARD INDICATES THAT THE PANEL UNDERSTOOD I HAD VIRTUALLY NOTHING TO DO WITH THE MATTERS AT ISSUE.

End of Report

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