



IAPD Report

JOSEPH GRANT GUIN

CRD# 1912408

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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

JOSEPH GRANT GUIN (CRD# 1912408)

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 **09/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	12/03/1999
IA	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	CRD# 2881	12/15/2003

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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	NORTHWESTERN MUTUAL WEALTH MANAGEMENT COMPANY	109729	MILWAUKEE, WI	03/08/2004 - 04/30/2007
B	ROBERT W. BAIRD & CO. INCORPORATED	8158	MILWAUKEE, WI	12/03/1999 - 01/01/2002
B	LINSCO/PRIVATE LEDGER CORP.	6413	FORT MILL, SC	09/30/1998 - 11/05/1999

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
Regulatory Event	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 **33** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC**
Main Address: 720 EAST WISCONSIN AVENUE
MILWAUKEE, WI 53202-4797
Firm ID#: 2881

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/03/1999
B	Arizona	Agent	Approved	07/10/2003
B	Arkansas	Agent	Approved	12/17/2024
B	California	Agent	Approved	05/04/2004
B	Colorado	Agent	Approved	01/01/2002
B	Connecticut	Agent	Approved	01/01/2002
B	Delaware	Agent	Approved	03/26/2019
B	District of Columbia	Agent	Approved	10/16/2024
B	Florida	Agent	Approved	01/01/2002
B	Georgia	Agent	Approved	11/23/2020
B	Illinois	Agent	Approved	01/01/2002
IA	Illinois	Investment Adviser Representative	Approved	12/15/2003
B	Iowa	Agent	Approved	10/20/2017



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	02/01/2022
B Louisiana	Agent	Approved	12/16/2024
B Maryland	Agent	Approved	03/30/2021
B Michigan	Agent	Approved	01/01/2002
B Minnesota	Agent	Approved	01/01/2002
B Nebraska	Agent	Approved	01/25/2008
B Nevada	Agent	Approved	11/09/2020
B New Jersey	Agent	Approved	01/01/2002
B New Mexico	Agent	Approved	07/11/2012
B New York	Agent	Approved	07/15/2002
B North Carolina	Agent	Approved	04/24/2019
B Ohio	Agent	Approved	12/05/2005
B Pennsylvania	Agent	Approved	07/20/2023
B Rhode Island	Agent	Approved	01/05/2022
B South Carolina	Agent	Approved	10/20/2003
B Tennessee	Agent	Approved	01/15/2020
B Texas	Agent	Approved	01/01/2002
B Utah	Agent	Approved	04/16/2020
B Vermont	Agent	Approved	12/21/2022



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	08/06/2012
B Wisconsin	Agent	Approved	01/01/2002
B Wyoming	Agent	Approved	10/06/2015

Branch Office Locations

NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC
272 E Deerpath Rd
Ste 204
Lake Forest, IL 60045



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	02/11/1989
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/27/1998
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B Uniform Securities Agent State Law Examination (S63)	Series 63	03/07/1989
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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	03/08/2004 - 04/30/2007	NORTHWESTERN MUTUAL WEALTH MANAGEMENT COMPANY	CRD# 109729	MILWAUKEE, WI
B	12/03/1999 - 01/01/2002	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI
B	09/30/1998 - 11/05/1999	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	02/05/1990 - 09/17/1998	LONG GROVE TRADING CO.	CRD# 10078	BOSTON, MA
B	11/19/1989 - 03/01/1990	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	02/14/1989 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	

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
05/2007 - Present	NORTHWESTERN MUTUAL WEALTH MANAGEMENT COMPANY	REPRESENTATIVE	Y	MILWAUKEE, WI, United States
11/1999 - Present	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVES	Y	MILWAUKEE, WI, United States
11/1999 - Present	THE NORTHWESTERN MUTUAL LIFE COMPANY	INSURANCE AGENT	N	MILWAUKEE, WI, 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.

1. MAY EARN COMMISSIONS FROM INSURANCE COMPANIES NOT AFFILIATED WITH NORTHWESTERN MUTUAL FOR SALES OF NON-VARIABLE LIFE, HEALTH, ANNUITY AND/OR DISABILITY INCOME INSURANCE PRODUCTS.
2. 50% OWNER CHARTHOUSE, LLC RECEIVING WMC AND RISK COMPENSATION, LEGAL ENTITY - RECEIVING WMC AND RISK COMPENSATION FROM PERSONAL PRODUCTION, START DATE: 1/1/2022, HOURS PER MONTH: 41-79, HOURS DURING SECURITIES TRADING HOURS: 21-40, WEALTH MANAGEMENT ADVISOR 50% OWNER OF LLC
3. 100% OWNER, INWARD NINE, INC., LEGAL ENTITY, START DATE: 10/14/2021, HOURS PER MONTH: 0-5, HOURS



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DURING SECURITIES TRADING HOURS: 0-5, JUST A LEGAL ENTITY OF WHICH I'M A 100% OWNER AND WILL NOT BE RECEIVING REVENUE DIRECTLY FROM WMC OR NM INSURANCE



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	State of Maryland Securities Division
Sanction(s) Sought:	Other: Order Granting Conditional Agent Registration
Date Initiated:	03/30/2021
Docket/Case Number:	BD20210049
Employing firm when activity occurred which led to the regulatory action:	Northwestern Mutual Investment Services, LLC
Product Type:	No Product
Allegations:	The State of Maryland Securities Division issued an Order granting conditional Agent registration to the Representative due to the Representative's financial history. The Order allows the Representative to remain registered in Maryland subject to compliance with certain conditions.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/30/2021



Sanctions Ordered:

Other: Per terms of the Order, for a period of two calendar years from payoff date of all judgments and/or liens or the date of the Order (whichever is later): (1) Representative must report to the MD Securities Division (â??Divisionâ?) any sanction imposed by another jurisdiction, SRO, SEC, CFTC or any exchange and any such sanction will result in review of the entire matter by the Division; (2) Any customer complaint from a MD resident involving Representative that is received by the Division will result in review of the entire matter by the Division; (3) Representative shall only service his one existing MD customer and is prohibited from soliciting business in MD; and, (4) Representative must provide MD semi-annual updates of the status of the judgments and/or liens.



End of Report

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