IAPD Report

Jamie Beth Sherr

CRD# 1924880

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

Jamie Beth Sherr (CRD# 1924880)

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 **09/22/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GILDER GAGNON HOWE & CO. LLC	CRD# 2002	09/22/2022
B	GILDER GAGNON HOWE & CO. LLC	CRD# 2002	10/03/2022

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **51** 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	NATIONAL ASSET MANAGEMENT, INC.	115927	CHATHAM, NJ	03/05/2018 - 03/09/2021
B	NATIONAL SECURITIES CORPORATION	7569	CHATHAM, NJ	07/22/2015 - 03/09/2021
B	FCG ADVISORS, LLC	40633	CHATHAM, NJ	11/19/2013 - 05/14/2014

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 **51** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **GILDER GAGNON HOWE & CO. LLC**

Main Address: 475 TENTH AVENUE
12TH FLOOR
NEW YORK, NY 10018-1120

Firm ID#: 2002

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	10/03/2022
B	FINRA	General Securities Principal	Approved	10/03/2022
B	FINRA	General Securities Representative	Approved	10/03/2022
B	FINRA	Investment Banking Representative	Approved	10/03/2022
B	FINRA	Municipal Securities Principal	Approved	10/03/2022
B	FINRA	Municipal Securities Representative	Approved	10/03/2022
B	FINRA	Operations Professional	Approved	10/03/2022
B	FINRA	Registered Options Principal	Approved	10/03/2022
B	FINRA	Securities Trader	Approved	10/03/2022
B	NYSE American LLC	Financial and Operations Principal	Approved	10/03/2022
B	NYSE American LLC	General Securities Principal	Approved	10/03/2022
B	NYSE American LLC	General Securities Representative	Approved	10/03/2022
B	NYSE American LLC	Municipal Securities Principal	Approved	10/03/2022

Qualifications

	Regulator	Registration	Status	Date
B	NYSE American LLC	Municipal Securities Representative	Approved	10/03/2022
B	NYSE American LLC	Registered Options Principal	Approved	10/03/2022
B	NYSE American LLC	Securities Trader	Approved	10/03/2022
B	Nasdaq Stock Market	Financial and Operations Principal	Approved	10/03/2022
B	Nasdaq Stock Market	General Securities Principal	Approved	10/03/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	10/03/2022
B	Nasdaq Stock Market	Registered Options Principal	Approved	10/03/2022
B	Nasdaq Stock Market	Securities Trader	Approved	10/03/2022
B	New York Stock Exchange	Financial and Operations Principal	Approved	10/03/2022
B	New York Stock Exchange	General Securities Principal	Approved	10/03/2022
B	New York Stock Exchange	General Securities Representative	Approved	10/03/2022
B	New York Stock Exchange	Municipal Securities Principal	Approved	10/03/2022
B	New York Stock Exchange	Municipal Securities Representative	Approved	10/03/2022
B	New York Stock Exchange	Securities Trader	Approved	10/03/2022
B	Alabama	Agent	Approved	10/03/2022
B	Alaska	Agent	Approved	10/05/2022
B	Arizona	Agent	Approved	10/18/2022
B	Arkansas	Agent	Approved	10/05/2022
B	California	Agent	Approved	10/04/2022

Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	10/04/2022
B	Connecticut	Agent	Approved	10/04/2022
B	Delaware	Agent	Approved	10/17/2022
B	District of Columbia	Agent	Approved	10/06/2022
B	Florida	Agent	Approved	10/04/2022
B	Georgia	Agent	Approved	10/05/2022
B	Hawaii	Agent	Approved	10/05/2022
B	Idaho	Agent	Approved	10/03/2022
B	Illinois	Agent	Approved	10/20/2022
B	Indiana	Agent	Approved	10/04/2022
B	Iowa	Agent	Approved	10/04/2022
B	Kansas	Agent	Approved	10/04/2022
B	Kentucky	Agent	Approved	10/06/2022
B	Louisiana	Agent	Approved	10/04/2022
B	Maine	Agent	Approved	10/03/2022
B	Maryland	Agent	Approved	10/04/2022
B	Massachusetts	Agent	Approved	10/03/2022
B	Michigan	Agent	Approved	10/05/2022
B	Minnesota	Agent	Approved	10/04/2022

Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	10/04/2022
B	Missouri	Agent	Approved	10/04/2022
B	Montana	Agent	Approved	10/04/2022
B	Nevada	Agent	Approved	10/18/2022
B	New Hampshire	Agent	Approved	12/02/2022
B	New Jersey	Agent	Approved	10/03/2022
B	New Mexico	Agent	Approved	10/04/2022
IA	New York	Investment Adviser Representative	Approved	09/22/2022
B	New York	Agent	Approved	10/03/2022
B	North Carolina	Agent	Approved	10/06/2022
B	North Dakota	Agent	Approved	10/10/2022
B	Ohio	Agent	Approved	10/03/2022
B	Oklahoma	Agent	Approved	10/04/2022
B	Oregon	Agent	Approved	10/05/2022
B	Pennsylvania	Agent	Approved	10/04/2022
B	Puerto Rico	Agent	Approved	10/12/2022
B	Rhode Island	Agent	Approved	10/07/2022
B	South Carolina	Agent	Approved	10/04/2022
B	South Dakota	Agent	Approved	10/03/2022

Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	10/04/2022
B	Texas	Agent	Approved	10/03/2022
B	Utah	Agent	Approved	10/03/2022
B	Vermont	Agent	Approved	10/03/2022
B	Virginia	Agent	Approved	10/03/2022
B	Washington	Agent	Approved	10/04/2022
B	West Virginia	Agent	Approved	10/06/2022
B	Wisconsin	Agent	Approved	10/04/2022
B	Wyoming	Agent	Approved	10/10/2022

Branch Office Locations

GILDER GAGNON HOWE & CO. LLC
475 TENTH AVENUE
NEW YORK, NY 10018

GILDER GAGNON HOWE & CO. LLC
475 TENTH AVENUE
12TH FLOOR
NEW YORK, NY 10018-1120

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 4 principal/supervisory exams, 8 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	Financial and Operations Principal Examination (S27)	Series 27	09/27/2022
B	General Securities Principal Examination (S24)	Series 24	09/27/2022
B	Municipal Securities Principal Examination (S53)	Series 53	09/27/2022
B	Registered Options Principal Examination (S4)	Series 4	09/27/2022

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
B	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
B	General Securities Representative Examination (S7TO)	Series 7TO	09/27/2022
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam (S55)	Series 55	04/26/2000
B	General Securities Representative Examination (S7)	Series 7	03/18/1989

Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/21/2015

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	03/05/2018 - 03/09/2021	NATIONAL ASSET MANAGEMENT, INC.	CRD# 115927	CHATHAM, NJ
B	07/22/2015 - 03/09/2021	NATIONAL SECURITIES CORPORATION	CRD# 7569	CHATHAM, NJ
B	11/19/2013 - 05/14/2014	FCG ADVISORS, LLC	CRD# 40633	CHATHAM, NJ
B	06/26/1996 - 12/02/2011	FCG ADVISORS, LLC	CRD# 40633	CHATHAM, NJ
B	05/25/1990 - 12/20/1996	FINANCIAL CONSULTANT GROUP INCORPORATED	CRD# 25644	CHATHAM, NJ
B	03/21/1989 - 03/14/1990	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
08/2022 - Present	Gilder Gagnon Howe & Co	Allocator	Y	New York, NY, United States
03/2021 - 08/2022	Facet Wealth	Compliance Analyst	Y	Baltimore, MD, United States
02/2018 - 03/2021	NATIONAL ASSET MANAGEMENT	BRANCH OFFICE MANAGER/INVESTMENT ADVISOR REPRESENTATIVE	Y	CHATHAM, NJ, United States
06/2015 - 02/2018	NATIONAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	CHATHAM, 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.

No information reported.

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:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/14/2001
Docket/Case Number:	C9B010105
Employing firm when activity occurred which led to the regulatory action:	FCG ADVISORS, LLC
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULES 1120 AND 2110 - RESPONDENT SHERR, ACTING ON BEHALF OF A MEMBER FIRM, PERMITTED A REGISTERED PERSON TO PERFORM DUTIES AS A REGISTERED PERSON WHILE HER REGISTRATION STATUS WAS INACTIVE DUE TO HER FAILURE TO TIMELY COMPLETE THE REGULATORY ELEMENT OF THE NASD'S CONTINUING EDUCATION RULE.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/14/2001
Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	

Sanction Details:	FINED $5,000, JOINTLY AND SEVERALLY.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	CONSENT TO THE IMPOSITION OF A FINE OF $5000.
Date Initiated:	11/09/2001
Docket/Case Number:	C9B010105
Employing firm when activity occurred which led to the regulatory action:	FCG ADVISORS LLC
Product Type:	No Product
Other Product Type(s):	
Allegations:	FROM ON OR ABOUT 12/10/99 THROUGH 4/7/00, FCG ADVISORS LLC, ACTING THROUGH JAMIE SHERR, PERMITTED A REGISTERED REPRESENTATIVE TO PERFORM DUTIES AS A REGISTERED PERSON WHILE HER REGISTRATION WAS INACTIVE DUE TO HER FAILURE TO TIMELY COMPLETE THE REGULATORY ELEMENT OF THE NASD'S CONTINUING EDUCATION RULE.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/14/2001
Sanctions Ordered:	Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	IMPOSITION OF A FINE OF $5000 TO BE PAID JOINTLY AND SEVERALLY.

End of Report

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