IAPD Report

LAURA NAFIS PENNINGTON

CRD# 2122111

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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

LAURA NAFIS PENNINGTON (CRD# 2122111)

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 **07/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROCKEFELLER CAPITAL MANAGEMENT	CRD# 291361	01/31/2020
B	ROCKEFELLER FINANCIAL LLC	CRD# 291361	01/31/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	WASHINGTON, DC	02/12/2009 - 02/11/2020
IA	UBS FINANCIAL SERVICES INC.	8174	WASHINGTON, DC	02/12/2009 - 02/11/2020
B	MORGAN STANLEY & CO. INCORPORATED	8209	WASHINGTON, DC	04/02/2007 - 02/13/2009

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

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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 **22** 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	01/31/2020
B	Arizona	Agent	Approved	06/09/2026
B	California	Agent	Approved	01/31/2020
B	Colorado	Agent	Approved	01/31/2020
B	Connecticut	Agent	Approved	01/31/2020
B	Delaware	Agent	Approved	01/31/2020
B	District of Columbia	Agent	Approved	01/31/2020
IA	District of Columbia	Investment Adviser Representative	Approved	02/11/2020
B	Florida	Agent	Approved	01/31/2020
IA	Florida	Investment Adviser Representative	Approved	07/14/2026
B	Georgia	Agent	Approved	01/31/2020
B	Maine	Agent	Approved	01/31/2020
B	Maryland	Agent	Approved	01/31/2020

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Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	01/31/2020
B	New Jersey	Agent	Approved	01/31/2020
B	New York	Agent	Approved	01/31/2020
B	Ohio	Agent	Approved	01/31/2020
B	Oregon	Agent	Approved	01/31/2020
B	Pennsylvania	Agent	Approved	01/31/2020
B	South Carolina	Agent	Approved	01/31/2020
B	Tennessee	Agent	Approved	12/13/2022
B	Texas	Agent	Approved	01/31/2020
IA	Texas	Investment Adviser Representative	Approved	01/31/2020
B	Virginia	Agent	Approved	01/31/2020
IA	Virginia	Investment Adviser Representative	Approved	10/13/2023
B	Washington	Agent	Approved	01/31/2020
B	West Virginia	Agent	Approved	01/31/2020

Branch Office Locations

ROCKEFELLER CAPITAL MANAGEMENT
3835 PGA Boulevard, Suite 401
Palm Beach Gardens, FL 33410

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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	10/21/1994
B General Securities Representative Examination (S7)	Series 7	05/01/1991

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	07/27/1994
B Uniform Securities Agent State Law Examination (S63)	Series 63	06/19/1991

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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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	02/12/2009 - 02/11/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	WASHINGTON, DC
IA	02/12/2009 - 02/11/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	WASHINGTON, DC
B	04/02/2007 - 02/13/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	WASHINGTON, DC
IA	04/02/2007 - 02/13/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	WASHINGTON, DC
IA	03/04/2002 - 04/02/2007	MORGAN STANLEY	CRD# 7556	WASHINGTON, DC
B	07/12/2001 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	WASHINGTON, DC
B	04/10/2000 - 05/01/2001	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	06/21/1994 - 04/07/2000	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	02/15/1994 - 06/10/1994	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	05/02/1991 - 11/29/1993	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ

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
04/2023 - Present	ROCKEFELLER FINANCIAL LLC	MANAGING DIRECTOR	Y	PALM BEACH GARDENS, FL, United States
01/2020 - 10/2023	Rockefeller Financial LLC	Private Wealth Advisor	Y	Washington DC, DC, United States
01/2023 - 03/2023	ROCKEFELLER FINANCIAL LLC	MANAGING DIRECTOR	Y	ARLINGTON, VA, United States
02/2009 - 01/2020	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	WASHINGTON, DC, United States

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Registration & Employment History

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.

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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.

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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:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/14/2026
Docket/Case Number:	137223-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	ROCKEFELLER FINANCIAL LLC
Product Type:	No Product
Allegations:	The Office finds that Pennington violated section 517.12(4), Florida Statutes (2023), by rendering investment advice, from a location within Florida, without being registered with the Office as an associated person of RFL.
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:	07/14/2026

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Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$21,250.00
Portion Levied against individual:	$21,250.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/14/2026
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	On July 14, 2026, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Laura Pennington (Pennington). Pennington neither admits nor denies the allegations but consents to the entry of findings by the Office. The Office finds that Pennington violated section 517.12(4), Florida Statutes (2023), by rendering investment advice, from a location within Florida, without being registered with the Office as an associated person of RFL. Pennington agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of $21,250.

Reporting Source:	Individual
Regulatory Action Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/14/2026
Docket/Case Number:	137223-SR
Employing firm when activity occurred which led to the regulatory action:	ROCKEFELLER FINANCIAL LLC
Product Type:	No Product
Allegations:	The Office finds that Pennington violated section 517.12(4), Florida Statutes (2023), by rendering investment advice, from a location within Florida, without being registered with the Office as an associated person of RFL.
Current Status:	Final
Resolution:	Order

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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:	07/14/2026
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$21,250.00
Portion Levied against individual:	$21,250.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/14/2026
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	I was registered as a broker-dealer representative but my registration as an investment adviser representative was not made due to an administrative oversight. After Rockefeller identified the issue, it submitted the required registration notice. Rockefeller accepted responsibility and paid the full amount of the fine assessed against me. There were no allegations of customer harm, no client complaints, and no restitution was required.

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End of Report

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