



IAPD Report

JOHN DIXON KNOX

CRD# 2171252

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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

JOHN DIXON KNOX (CRD# 2171252)

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 **09/30/2020**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	JADWIN ASSET MANAGEMENT LLC	CRD# 307728	09/15/2020

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	TRU INDEPENDENCE ASSET MANAGEMENT, LLC	168256	GREENWICH, CT	09/17/2019 - 09/30/2020
B	BESSEMER INVESTOR SERVICES, INC.	17442	GREENWICH, CT	11/13/2012 - 06/15/2018
B	J.P. MORGAN SECURITIES LLC	79	NEW YORK, NY	09/24/2010 - 11/21/2012

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

Employment 1 of 1

Firm Name: **JADWIN ASSET MANAGEMENT LLC**
Main Address: 115 MASON STREET
2ND FLOOR
GREENWICH, CT 06830
Firm ID#: 307728

Regulator	Registration	Status	Date
IA Connecticut	Investment Adviser Representative	Approved	09/15/2020

Branch Office Locations

JADWIN ASSET MANAGEMENT LLC
115 MASON STREET
2ND FLOOR
GREENWICH, CT 06830




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



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	03/25/2015

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	06/15/2018
	General Securities Representative Examination (S7)	Series 7	09/16/2010

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	09/17/2019
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/2010

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	09/17/2019 - 09/30/2020	TRU INDEPENDENCE ASSET MANAGEMENT, LLC	CRD# 168256	GREENWICH, CT
B	11/13/2012 - 06/15/2018	BESSEMER INVESTOR SERVICES, INC.	CRD# 17442	GREENWICH, CT
B	09/24/2010 - 11/21/2012	J.P. MORGAN SECURITIES LLC	CRD# 79	NEW YORK, NY
B	07/12/2002 - 07/16/2008	FIRST REPUBLIC SECURITIES COMPANY, LLC	CRD# 105108	NEW YORK, NY
B	05/03/1999 - 04/30/2001	PFPC DISTRIBUTORS, INC.	CRD# 31334	PORTLAND, ME
B	10/21/1997 - 12/31/1998	FPS BROKER SERVICES, INC.	CRD# 25065	KING OF PRUSSIA, PA
B	03/24/1994 - 11/14/1995	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	11/13/1991 - 03/18/1994	MORGAN STANLEY & CO., INCORPORATED	CRD# 8209	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
09/2020 - Present	Jadwin Asset Management LLC	CEO	Y	GREENWICH, CT, United States
06/2018 - 09/2020	tru Independence Asset Management	MANAGING DIRECTOR	Y	GREENWICH, CT, United States
11/2012 - 05/2018	BESSEMER INVESTOR SERVICES, INC.	BUSINESS DEVELOPMENT OFFICER	Y	NEW YORK, NY, 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
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:	FIRST REPUBLIC SECURITIES COMPANY, LLC
Allegations:	CLAIMANT'S ALLEGATIONS RELATE TO HIS INVESTMENT IN TWO PRIVATE PLACEMENT SECURITIES IN 2004. HE ALLEGES THE RISKS OF THE INVESTMENT WERE NOT PROPERLY DISCLOSED AND THE INVESTMENTS WERE UNSUITABLE.
Product Type:	Debt-Asset Backed
Alleged Damages:	\$750,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	14-02669
Date Notice/Process Served:	09/15/2014
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/26/2015
Monetary Compensation Amount:	\$150,000.00



Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIRST REPUBLIC SECURITIES COMPANY, LLC

Allegations: CLAIMANT'S ALLEGATIONS RELATE TO HIS INVESTMENT IN TWO PRIVATE PLACEMENT SECURITIES IN 2004. HE ALLEGES THE RISKS OF THE INVESTMENT WERE NOT PROPERLY DISCLOSED AND THE INVESTMENTS WERE UNSUITABLE.

Product Type: Debt-Asset Backed

Alleged Damages: \$750,000.00

Arbitration Information

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

Docket/Case #: 14-02669

Date Notice/Process Served: 09/15/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/26/2015

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Broker Statement This claim was withdrawn as part of the claimant's settlement with First Republic Securities Company. No personal contribution was made towards the settlement.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIRST REPUBLIC INVESTMENT MANAGEMENT

Allegations: CLIENT CLAIMS INTENTIONAL AND NEGLIGENT MISREPRESENTATION, CONCEALMENT, CONSTRUCTIVE FRAUD, UNSUITABILITY AND BREACH OF FIDUCIARY DUTY REGARDING THE SALE OF THE TW TAX ADVANTAGED FUND, A PRIVATE PLACEMENT INVESTMENT. MR KNOX WAS SUBSEQUENTLY DROPPED AS A NAMED INDIVIDUAL PRIOR TO THE ARBITRATION.

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$3,500,000.00

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:** AMERICAN ARBITRATION ASSOCIATION

Docket/Case #: UNKNOWN

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 03/27/2009

Customer Complaint Information

Date Complaint Received: 03/30/2009

Complaint Pending? No

Status: Denied

Status Date: 03/30/2010

Settlement Amount: \$0.00

**Individual Contribution
Amount:** \$0.00

Arbitration Information

Disposition: Denied

Disposition Date: 03/30/2010

Firm Statement CLAIMANT HAS MADE A COMPLAINT AGAINST A FORMER REGISTERED REPRESENTATIVE OF FIRST REPUBLIC SECURITIES COMPANY (FRSC) WHO WAS A DUAL-EMPLOYEE OF FIRST REPUBLIC INVESTMENT MANAGEMENT (FRIM), AN RIA AFFILLIATE OF FRSC, AND WAS ACTING IN HIS CAPACITY AS A FRIM INVESTMENT ADVISOR IN THIS TRANSACTION. THE INVESTMENT WAS NOT HELD AT FRSC. FRSC ACTED AS PLACEMENT AGENT IN THIS PRIVATE PLACEMENT OFFERING OF THE TW TAX ADVANTAGED FUND, AN OFFERING OF FIRST REPUBLIC INVESTMENT MANAGEMENT (FRIM), A SEPARATE RIA AFFILLIATE OF FRSC. MR KNOX WAS SUBSEQUENTLY DROPPED AS A NAMED INDIVIDUAL PRIOR TO THE ARBITRATION.

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** FIRST REPUBLIC INVESTMENT MANAGEMENT

Allegations: CLIENT CLAIMS INTENTIONAL AND NEGLIGENT MISREPRESENTATION, CONCEALMENT, CONSTRUCTIVE FRAUD, UNSUITABILITY AND BREACH OF FIDUCIARY DUTY REGARDING THE SALE OF THE TW TAX ADVANTAGED FUND, A PRIVATE PLACEMENT INVESTMENT. MR KNOX WAS SUBSEQUENTLY DROPPED AS A NAMED INDIVIDUAL PRIOR TO THE ARBITRATION.

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$350,000.00

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:** AMERICAN ARBITRATION ASSOCIATION

Docket/Case #: UNKNOWN

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 03/27/2009

Customer Complaint Information

Date Complaint Received: 03/30/2009

Complaint Pending? No

Status: Denied

Status Date: 03/30/2010

Settlement Amount: \$0.00

**Individual Contribution
Amount:** \$0.00

Arbitration Information

Disposition: Denied

Disposition Date: 03/30/2010

Broker Statement CLAIMANT HAS MADE A COMPLAINT AGAINST A FORMER REGISTERED REPRESENTATIVE OF FIRST REPUBLIC SECURITIES COMPANY (FRSC) WHO WAS A DUAL-EMPLOYEE OF FIRST REPUBLIC INVESTMENT MANAGEMENT (FRIM), AN RIA AFFILLIATE OF FRSC, AND WAS ACTING IN HIS CAPACITY AS A FRIM INVESTMENT ADVISOR IN THIS TRANSACTION. THE INVESTMENT WAS NOT HELD AT FRSC. FRSC ACTED AS PLACEMENT AGENT IN THIS PRIVATE PLACEMENT OFFERING OF THE TW TAX ADVANTAGED FUND, AN OFFERING OF FIRST REPUBLIC INVESTMENT MANAGEMENT (FRIM), A SEPARATE RIA AFFILLIATE OF FRSC. MR KNOX WAS SUBSEQUENTLY DROPPED AS A NAMED INDIVIDUAL PRIOR TO THE ARBITRATION.



End of Report

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