



## IAPD Report

# Jeffrey William Hanretty

CRD# 2635220

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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

### Jeffrey William Hanretty (CRD# 2635220)

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 **02/26/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LIFEMARK SECURITIES CORP.	CRD# 16204	06/02/2017
<b>IA</b>	LIFEMARK SECURITIES CORP.	CRD# 16204	06/02/2017

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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>IA</b>	NATIONAL ASSET MANAGEMENT, INC.	115927	NEW HARTFORD, NY	11/17/2016 - 05/19/2017
<b>B</b>	NATIONAL SECURITIES CORPORATION	7569	NEW HARTFORD, NY	05/06/2016 - 05/19/2017
<b>B</b>	ADIRONDACK TRADING GROUP LLC	103910	NEW HARTFORD, NY	05/17/2012 - 05/12/2016

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
Criminal	1
Judgment/Lien	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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **LIFEMARK SECURITIES CORP.**

Main Address: 400 WEST METRO PARK  
ROCHESTER, NY 14623

Firm ID#: 16204

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/02/2017
B	California	Agent	Approved	11/27/2024
B	Florida	Agent	Approved	08/09/2017
IA	Florida	Investment Adviser Representative	Approved	08/09/2017
B	Georgia	Agent	Approved	03/06/2025
B	New York	Agent	Approved	06/02/2017
IA	New York	Investment Adviser Representative	Approved	08/23/2021
B	Pennsylvania	Agent	Approved	06/05/2017
B	South Carolina	Agent	Approved	01/08/2025
B	Texas	Agent	Approved	01/06/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	01/03/2025

### Branch Office Locations

**LIFEMARK SECURITIES CORP.**  
8365 Seneca Turnpike  
New Hartford, NY 13413



## Qualifications

**LIFEMARK SECURITIES CORP.**

438 Tamiami Trail South  
Osprey, FL 34229




## 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	11/17/2000

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	12/07/1995

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/26/2016
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/19/1995

### 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	11/17/2016 - 05/19/2017	NATIONAL ASSET MANAGEMENT, INC.	CRD# 115927	NEW HARTFORD, NY
B	05/06/2016 - 05/19/2017	NATIONAL SECURITIES CORPORATION	CRD# 7569	NEW HARTFORD, NY
B	05/17/2012 - 05/12/2016	ADIRONDACK TRADING GROUP LLC	CRD# 103910	NEW HARTFORD, NY
B	06/15/2000 - 04/02/2012	CADARET, GRANT & CO., INC.	CRD# 10641	NEW HARTFORD, NY
B	06/16/1997 - 06/27/2000	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	06/16/1997 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY
B	04/19/1996 - 08/07/1996	EQ FINANCIAL CONSULTANTS, INC.	CRD# 6627	
B	04/19/1996 - 08/07/1996	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	
B	12/08/1995 - 02/26/1996	H.D. VEST INVESTMENT SECURITIES, INC.	CRD# 13686	DALLAS, TX

### 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
06/2017 - Present	LIFEMARK SECURITIES CORP.	REGISTERED REPRESENTATIVE, INVESTMENT ADVISOR	Y	Rochester, NY, United States
11/1989 - Present	JEFFREY W. HANRETTY & ASSOCIATES	OTHER - SELF EMPLOYED - CPA	N	NEW HARTFORD, NY, United States
02/2016 - 04/2020	Hanretty & Harloff PA, LLC	partner and managing member	N	Osprey, FL, United States
06/2016 - 05/2017	NATIONAL ASSET MANAGEMENT	INVESTMENT ADVISOR	Y	NEW HARTFORD, CT, United States
05/2016 - 05/2017	NATIONAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	NEW HARTFORD, CT, United States



## 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.

(1) JEFFREY W. HANRETTY CPA & ASSOCIATES CPA PRACTICE/NOT INVESTMENT RELATED/ 8365 SENECA TURNPIKE, NEW HARTFORD, NY 13413/ CPA/OWNER OPERATOR SINCE 1989/ 200 PER MONTH / 5 HRS A DAY DURING TRADING HRS/MANAGE CPA PRACTICE.(2) 8379 SENECA TURNPIKE, LLC /NOT INVESTMENT RELATED/8365 SENECA TNPK NEW HARTFORD NY 13413/REAL ESTATE RENTAL 50% PARTNER IN OFFICE BUILDING WHICH IS LOCATION OF MY OFFICE START 2008/2 HRS PER MONTH/MANAGE BUILDING. / 438 South Tamiami, LLC" for the purchase of an office condo at 438 Tamiami Trail South, Osprey, FL 34229. This office is being used for a small CPA practice in Florida.



## 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
Criminal	1
Judgment/Lien	2

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Organization Name (if charge(s) were brought against an organization over which individual exercised control):</b>	N/A
<b>Court Details:</b>	STATE OF NEW YORK. COUNTY OF MADISON COURT OF VILLAGE OF MORRISVILLE, NY CASE #453-26395
<b>Charge Date:</b>	05/23/1980
<b>Charge Details:</b>	1 COUNT PETIT LARCENY - SECTION 155.25 - CLASS A MISDEMEANOR CHARGE WAS REDUCED TO DISORDERLY CONDUCT 240.20 PLEAD GUILTY TO DISORDERLY CONDUCT
<b>Felony?</b>	No
<b>Current Status:</b>	Final
<b>Status Date:</b>	07/02/1980
<b>Disposition Details:</b>	PLEAD GUILTY TO A REDUCED CHARGE OF DISORDERLY CONDUCT 240.20. FINED \$100.00 - CONDITIONAL DISCHARGE.
<b>Broker Statement</b>	AFTER GRADUATION I WAS WALKING FROM A DORM ROOM AND FOUND A CHILD'S BIKE AND RODE IT TO A LOCAL STORE. MY INTENT WAS TO RETURN THE BIKE WHEN I GOT BACK, BUT BEFORE I COULD DO THAT THE PARENTS HAD ME ARRESTED FOR STEALING THE BIKE. MY ONLY INTENT WAS TO US IT FOR QUICK TRANSPORTATION AND RETURN IT.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 2

**Reporting Source:** Individual  
**Judgment/Lien Holder:** MERRILL LYNCH BUSINESS FINANCIAL SVCS INC.  
**Judgment/Lien Amount:** \$1,032,475.22  
**Judgment/Lien Type:** Civil  
**Date Filed:** 04/25/2008  
**Type of Court:** Federal Court  
**Name of Court:** UNITED STATES DISTRICT COURT  
**Location of Court:** EASTERN DISTRICT OF NORTH CAROLINA  
**Docket/Case #:** 5:07-CV-129-D  
**Judgment/Lien Outstanding?** Yes

#### Broker Statement

THIS JUDGEMENT ORIGINATED FROM TWO MORTGAGES PROVIDED BY MERRILL LYNCH ON SCHLOTZSKY DELI FRANCHISE RESTAURANTS BUILT BY THE FRANCHISE CORPORATION AND SECURED AND LATER DEFAULTED UNDER BANKRUPTCY. A SETTLEMENT WAS BEING NEGOTIATED UNTIL MERRILL LYNCH WENT OUT OF BUSINESS.

### Disclosure 2 of 2

**Reporting Source:** Individual  
**Judgment/Lien Holder:** ALLIANCE BANK, NA  
**Judgment/Lien Amount:** \$1,037,394.02  
**Judgment/Lien Type:** Civil  
**Date Filed:** 05/03/2010  
**Type of Court:** State Court  
**Name of Court:** ONONDAGA SUPREME COURT  
**Location of Court:** ONONDAGA COUNTY, STATE OF NEW YORK  
**Docket/Case #:** 2009-3922  
**Judgment/Lien Outstanding?** Yes

#### Broker Statement

THIS JUDGEMENT ORIGINATED AS A LINE OF CREDIT (WORKING) TO KAY-R ELECTRIC CORPORATION. ALLIANCE BANK PULLED THE LINE OF CREDIT FROM THIS COMPANY IN 2007 AND DEMANDED FULL PAYMENT AFTER WITHDRAWING \$800,000 FROM THEIR A/C'S. I WAS HELD PERSONALLY LIABLE. ALLIANCE AGREED TO ACCEPT \$150,000 AS SETTLEMENT. SETTLEMENT HAS NOT BEEN REACHED.



## End of Report

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