



IAPD Report

HAROLD THOMAS WHALEN

CRD# 4558083

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

i 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

HAROLD THOMAS WHALEN (CRD# 4558083)

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 **07/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NUVEEN SECURITIES, LLC	CRD# 469	07/21/2025
IA	NUVEEN ASSET MANAGEMENT, LLC	CRD# 155584	07/23/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	THORNBURG INVESTMENT MANAGEMENT INC	106357	Millersville, MD	03/27/2020 - 05/07/2025
B	THORNBURG SECURITIES LLC	14857	SANTA FE, NM	03/27/2020 - 05/07/2025
IA	NATIXIS ADVISORS, L.P.	106800	Conshohocken, PA	04/25/2011 - 04/03/2020

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



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

Employment 1 of 2

Firm Name: **NUVEEN SECURITIES, LLC**
Main Address: 333 WEST WACKER DRIVE
CHICAGO, IL 60606-1286
Firm ID#: 469

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	07/21/2025
B FINRA	Invest. Co and Variable Contracts	Approved	07/21/2025
B District of Columbia	Agent	Approved	07/29/2025
B Florida	Agent	Approved	07/22/2025
B Maryland	Agent	Approved	07/25/2025
B Pennsylvania	Agent	Approved	07/25/2025
B Virginia	Agent	Approved	07/28/2025

Branch Office Locations

Millersville, MD

Employment 2 of 2

Firm Name: **NUVEEN ASSET MANAGEMENT, LLC**
Main Address: 333 WEST WACKER DRIVE
CHICAGO, IL 60606
Firm ID#: 155584

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	07/23/2025



Qualifications

Regulator	Registration	Status	Date
-----------	--------------	--------	------

Branch Office Locations

NUVEEN ASSET MANAGEMENT, LLC
333 WEST WACKER DRIVE
CHICAGO, IL 60606



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
------	----------	------

 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/20/2008
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/29/2004

State Securities Law Exams

Exam	Category	Date
------	----------	------

 Uniform Investment Adviser Law Examination (S65)	Series 65	03/20/2008
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/06/2004

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	03/27/2020 - 05/07/2025	THORNBURG INVESTMENT MANAGEMENT INC	CRD# 106357	Millersville, MD
B	03/27/2020 - 05/07/2025	THORNBURG SECURITIES LLC	CRD# 14857	SANTA FE, NM
IA	04/25/2011 - 04/03/2020	NATIXIS ADVISORS, L.P.	CRD# 106800	Conshohocken, PA
B	04/21/2011 - 04/03/2020	NATIXIS DISTRIBUTION, L.P.	CRD# 34754	BOSTON, MA
IA	08/29/2008 - 04/04/2011	EATON VANCE MANAGEMENT	CRD# 104859	BOSTON, MA
B	02/20/2004 - 04/04/2011	EATON VANCE DISTRIBUTORS, INC.	CRD# 37731	BOSTON, MA

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
04/2025 - Present	Nuveen Asset Management, LLC	Registered Investment Advisor	Y	Chicago, IL, United States
04/2025 - Present	Nuveen Securities, LLC	Registered Representative	Y	Millersville, MD, United States
03/2020 - 04/2025	Thornburg Investment Management Inc	Senior Investment Consultant	Y	Santa Fe, NM, United States
03/2020 - 04/2025	Thornburg Securities LLC	Registered Representative	Y	Santa Fe, NM, United States
04/2011 - 03/2020	NATIXIS GLOBAL ASSOCIATES	REGIONAL DIRECTOR	Y	BOSTON, MA, United States
04/2011 - 03/2020	Natixis Advisors, L.P.	Registered Investment Advisor	Y	Boston, MA, United States
04/2011 - 03/2020	Natixis Distribution, L.P.	Registered Representative	Y	Boston, MA, 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.

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
------	-------

Criminal	1
----------	---

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

Reporting Source: Individual

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: STATE OF VERMONT, DISTRICT COURT OF VERMONT, UNIT NO. 2
CHITTENDEN CIRCUIT

Charge Date: 02/19/2001

Charge Details: 1 CHARGE OF LEWD & LASCIVIOUS CONDUCT(PUBLIC EXPOSURE), FELONY, PLEAD NOT GUILTY

Felony? Yes

Current Status: Final

Status Date: 08/24/2001

Disposition Details: CONVICTED ON 8/24/2001 OF PROHIBITED ACTS - MISDEMEANOR. 6 - 12 MONTHS JAIL ALL SUSPENDED TO PROBATION AND \$17.50 COURT COSTS. THE DURATION WAS 6 MONTHS PROBATION STARTING 8/24/2001. PAID COURT COSTS ON 8/24/2001



End of Report

This page is intentionally left blank.