



IAPD Report

TERRANCE DAVID LUMPKINS SR

CRD# 4710748

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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

TERRANCE DAVID LUMPKINS SR (CRD# 4710748)

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 **01/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	01/21/2004
IA	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	CRD# 2881	03/05/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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
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No information reported.

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

Employment 1 of 1

Firm Name: **NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC**

Main Address: 720 EAST WISCONSIN AVENUE
MILWAUKEE, WI 53202-4797

Firm ID#: 2881

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	01/21/2004
B	FINRA	General Securities Representative	Approved	09/19/2011
B	FINRA	Investment Co./Variable Contracts Prin	Approved	01/24/2013
B	Arizona	Agent	Approved	11/12/2014
B	California	Agent	Approved	10/22/2009
B	Colorado	Agent	Approved	03/23/2022
B	Connecticut	Agent	Approved	08/30/2023
B	Florida	Agent	Approved	10/20/2009
B	Georgia	Agent	Approved	12/03/2018
B	Illinois	Agent	Approved	09/05/2006
B	Iowa	Agent	Approved	07/25/2016
B	Kentucky	Agent	Approved	05/16/2016
B	Maine	Agent	Approved	07/20/2023



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	04/07/2022
B Michigan	Agent	Approved	08/15/2023
B Minnesota	Agent	Approved	01/11/2023
B New Jersey	Agent	Approved	01/09/2019
B New York	Agent	Approved	03/23/2009
B North Carolina	Agent	Approved	11/27/2007
B Ohio	Agent	Approved	01/22/2004
IA Ohio	Investment Adviser Representative	Approved	03/05/2012
B Pennsylvania	Agent	Approved	09/29/2010
B Texas	Agent	Approved	09/02/2014
B Utah	Agent	Approved	03/24/2022
B Virginia	Agent	Approved	08/30/2013
B Washington	Agent	Approved	02/15/2013
B West Virginia	Agent	Approved	11/03/2022

Branch Office Locations

NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC
 1349 W Lane Ave
 Ste 1200
 Upper Arlington, OH 43221




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, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/22/2013

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/16/2011
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/19/2004

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	02/27/2012
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/19/2006

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:



No information reported.

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
01/2016 - Present	Northwestern Mutual Wealth Management Company	Representative	Y	Milwaukee, WI, United States
09/2003 - Present	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	COLUMBUS, OH, United States
09/2003 - Present	NORTHWESTERN MUTUAL LIFE INSURANCE COMPANY	FINANCIAL REPRESENTATIVE	N	MILWAUKEE, WI, 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.

MAY EARN COMMISSIONS FROM INSURANCE COMPANIES NOT AFFILIATED WITH NORTHWESTERN MUTUAL FOR SALES OF NON-VARIABLE LIFE, HEALTH, ANNUITY AND/OR DISABILITY INCOME INSURANCE PRODUCTS



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
Judgment/Lien	2

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:	Individual
Regulatory Action Initiated By:	State of Maryland Office of the Attorney General - Securities Division
Sanction(s) Sought:	Other: Order Granting Conditional Agent Registration
Date Initiated:	04/08/2022
Docket/Case Number:	BD20220104
Employing firm when activity occurred which led to the regulatory action:	Northwestern Mutual Investment Services, LLC
Product Type:	No Product
Allegations:	The State of Maryland Securities Division issued an Order granting conditional Agent registration to the Representative due to the Representative's financial history. The Order allows the Representative to remain registered in Maryland subject to compliance with certain conditions.
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:	04/08/2022



Sanctions Ordered:

Other: The Order states that for a period of two calendar years from the date of the payoff of all judgments and/or liens or the date of the Order, whichever is later: (1) any sanction of representative imposed by another jurisdiction, any self-regulatory organization, any exchange, the SEC, or the CFTC, will result in the entire matter being reviewed by the Division, (2) any customer complaint involving representative that is received by the Division from a Maryland resident will result in this entire matter being reviewed by the Division. The Order also states that for a period of two calendar years from the date of the Order, or until the judgments and/or liens are paid in full or otherwise resolved, representative shall, on a semi-annual basis, provide the Division with updates of the balances and/or status of the judgments and/or liens.



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:	Internal Revenue Service
Judgment/Lien Amount:	\$58,612.10
Judgment/Lien Type:	Tax
Date Filed with Court:	07/27/2021
Date Individual Learned:	08/06/2021
Type of Court:	Internal Revenue Service
Name of Court:	n/a
Location of Court:	n/a
Docket/Case #:	436207221
Judgment/Lien Outstanding?	Yes
Broker Statement	For tax years ending 2017, 2018 and 2019.

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$165,652.75
Judgment/Lien Type:	Tax
Date Filed with Court:	10/18/2017
Date Individual Learned:	05/17/2019
Type of Court:	County
Name of Court:	Franklin County Recorder
Location of Court:	Columbus, OH
Docket/Case #:	201710180144923
Judgment/Lien Outstanding?	Yes



End of Report

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