IAPD Report

James S Venetos

CRD# 862197

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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

James S Venetos (CRD# 862197)

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 **04/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROCKEFELLER CAPITAL MANAGEMENT	CRD# 291361	01/17/2025
B	ROCKEFELLER FINANCIAL LLC	CRD# 291361	01/17/2025
IA	ROCKEFELLER CAPITAL MANAGEMENT	CRD# 294197	01/17/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	J.P. MORGAN SECURITIES LLC	79	NEW YORK, NY	01/25/2006 - 01/22/2025
B	J.P. MORGAN SECURITIES LLC	79	NEW YORK, NY	01/13/2006 - 01/22/2025
B	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY	05/22/1989 - 02/01/2006

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

Employment 1 of 2

Firm Name: **ROCKEFELLER CAPITAL MANAGEMENT**

Main Address: 45 ROCKEFELLER PLAZA
FLOOR 5
NEW YORK, NY 10111

Firm ID#: 294197

	Regulator	Registration	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	04/01/2026
IA	New York	Investment Adviser Representative	Approved	01/17/2025
IA	Texas	Investment Adviser Representative	Approved	01/17/2025

Branch Office Locations

ROCKEFELLER CAPITAL MANAGEMENT
300 First Stamford Place
Suite 230
Stamford, CT 06902

Employment 2 of 2

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	01/17/2025
B	FINRA	General Securities Sales Supervisor	Approved	01/17/2025
B	California	Agent	Approved	01/17/2025

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Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	01/17/2025
IA	Connecticut	Investment Adviser Representative	Approved	01/17/2025
B	Delaware	Agent	Approved	02/13/2025
B	District of Columbia	Agent	Approved	01/17/2025
B	Florida	Agent	Approved	02/11/2025
B	Illinois	Agent	Approved	08/06/2025
B	Iowa	Agent	Approved	01/17/2025
B	Maine	Agent	Approved	01/17/2025
B	Maryland	Agent	Approved	01/17/2025
B	Massachusetts	Agent	Approved	01/17/2025
B	Michigan	Agent	Approved	01/17/2025
B	Missouri	Agent	Approved	01/17/2025
B	Montana	Agent	Approved	01/17/2025
B	New Jersey	Agent	Approved	01/17/2025
B	New York	Agent	Approved	01/17/2025
IA	New York	Investment Adviser Representative	Approved	01/17/2025
B	North Carolina	Agent	Approved	01/17/2025
B	South Carolina	Agent	Approved	01/17/2025
B	Texas	Agent	Approved	01/17/2025

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Qualifications

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	01/17/2025
B	Virginia	Agent	Approved	01/17/2025

Branch Office Locations

ROCKEFELLER CAPITAL MANAGEMENT
300 First Stamford Place
Suite 230
Stamford, CT 06902

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	02/25/1985

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/20/1979

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/13/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/25/1979

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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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
IA	01/25/2006 - 01/22/2025	J.P. MORGAN SECURITIES LLC	CRD# 79	NEW YORK, NY
B	01/13/2006 - 01/22/2025	J.P. MORGAN SECURITIES LLC	CRD# 79	NEW YORK, NY
B	05/22/1989 - 02/01/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	02/01/1979 - 05/22/1989	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

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
04/2026 - Present	ROCKEFELLER CAPITAL MANAGMENT	MANAGING DIRECTOR	Y	Stamford, CT, United States
04/2026 - Present	ROCKEFELLER FINANCIAL LLC	MANAGING DIRECTOR	Y	Stamford, CT, United States
01/2025 - 04/2026	ROCKEFELLER CAPITAL MANAGMENT	MANAGING DIRECTOR	Y	NYH, NY, United States
01/2025 - 04/2026	ROCKEFELLER FINANCIAL LLC	MANAGING DIRECTOR	Y	NY, NY, United States
10/2010 - 01/2025	JPMORGAN CHASE BANK, N.A.	ACCOUNT EXECUTIVE	Y	NEW YORK, NY, United States
10/2008 - 01/2025	J.P. MORGAN SECURITIES LLC	ACCOUNT EXECUTIVE	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.

Effective 6/15/2018 I will be an employee of both JPMorgan Securities and JPMorgan Bank. JPMorgan Bank offers a broad range of products and services nationwide. As an employee of JPMorgan Bank I will be able to offer certain bank products and services, including deposit and credit products.

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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
Customer Dispute	1

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 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BEAR STEARNS & CO. INC.

Allegations: CLIENT ALLEGES THAT BROKER MISREPRESENTED AUCTION RATE PREFERREDS AS SAFE AND LIQUID INVESTMENTS. CLIENT SUBSEQUENTLY INVESTED IN THE SECURITIES.

Product Type: Other

Other Product Type(s): AUCTION RATE SECURITIES

Alleged Damages: $0.00

Customer Complaint Information

Date Complaint Received: 07/09/2008

Complaint Pending? No

Status: Settled

Status Date: 10/08/2008

Settlement Amount: $300,000.00

Individual Contribution Amount: $0.00

Broker Statement ON AUGUST 13 AND 14, 2008, JPMORGAN CHASE AGREED TO A SETTLEMENT IN PRINCIPLE WITH THE NEW YORK ATTORNEY GENERAL'S OFFICE, AND THE OFFICE OF FINANCIAL REGULATION FOR THE STATE OF FLORIDA AND THE NORTH AMERICAN

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SECURITIES ADMINISTRATORS ASSOCIATION TASK FORCE, RESPECTIVELY, WHICH PROVIDED, AMONG OTHER THINGS, THAT THE FIRM WOULD BUY BACK AT PAR CERTAIN AUCTION RATE SECURITIES. AS PART OF THESE SETTLEMENTS, J.P.MORGAN SECURITIES, INC., PURCHASED BACK FROM [CUSTOMER] 12
ARS POSITION(S) AT PAR ($25,000), IN ADDITION TO PAYING ACCRUED INTEREST ON THE PAR AMOUNT.

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End of Report

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