



IAPD Report

JON MARK VEENIS

CRD# 863952

| <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

JON MARK VEENIS (CRD# 863952)

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 **02/24/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|-------------------------|-------------|------------------|
| B | NEWEDGE SECURITIES, LLC | CRD# 10674 | 03/27/1997 |
| IA | NEWEDGE ADVISORS | CRD# 171351 | 11/01/2021 |

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **4** 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 | MID ATLANTIC FINANCIAL MANAGEMENT, INC. | 109771 | PITTSBURGH, PA | 10/05/1998 - 11/01/2021 |
| B | SMITH BARNEY INC. | 7059 | NEW YORK, NY | 07/31/1993 - 03/21/1997 |
| B | LEHMAN BROTHERS INC. | 7506 | NEW YORK, NY | 07/02/1993 - 07/31/1993 |

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 |



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 4 jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **NEWEDGE ADVISORS**
Main Address: 858 CAMP STREET
NEW ORLEANS, LA 70130
Firm ID#: 171351

| Regulator | Registration | Status | Date |
|-----------------|-----------------------------------|----------|------------|
| IA Pennsylvania | Investment Adviser Representative | Approved | 11/01/2021 |

Branch Office Locations

NEWEDGE ADVISORS
1251 Waterfront Place
Suite 510
Pittsburgh, PA 15222

Employment 2 of 2

Firm Name: **NEWEDGE SECURITIES, LLC**
Main Address: 1251 WATERFRONT PLACE
SUITE 510
PITTSBURGH, PA 15222-6368
Firm ID#: 10674

| Regulator | Registration | Status | Date |
|-----------------------|-----------------------------------|----------|------------|
| B FINRA | General Securities Representative | Approved | 03/27/1997 |
| B FINRA | Investment Banking Representative | Approved | 05/03/2010 |
| B Nasdaq Stock Market | General Securities Representative | Approved | 07/12/2006 |
| B Colorado | Agent | Approved | 11/26/2019 |
| B Florida | Agent | Approved | 04/16/1997 |
| B Pennsylvania | Agent | Approved | 03/31/1997 |



Qualifications

| Regulator | Registration | Status | Date |
|-------------------|--------------|----------|------------|
| B Virginia | Agent | Approved | 07/14/2014 |

Branch Office Locations

1251 WATERFRONT PLACE
SUITE 510
PITTSBURGH, PA 15222-4235



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

Principal/Supervisory Exams

| Exam | Category | Date |
|--|----------|------------|
| General Securities Sales Supervisor Examination (Options Module & General Module) (S8) | Series 8 | 02/27/1986 |

General Industry/Product Exams

| Exam | Category | Date |
|--|-------------|------------|
| Investment Banking Registered Representative Examination (S79TO) | Series 79TO | 01/02/2023 |
| Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| National Commodity Futures Examination (S3) | Series 3 | 08/15/1990 |
| General Securities Representative Examination (S7) | Series 7 | 03/17/1979 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
| Uniform Investment Adviser Law Examination (S65) | Series 65 | 02/03/1994 |
| Uniform Securities Agent State Law Examination (S63) | Series 63 | 11/25/1981 |

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 | 10/05/1998 - 11/01/2021 | MID ATLANTIC FINANCIAL MANAGEMENT, INC. | CRD# 109771 | PITTSBURGH, PA |
| B | 07/31/1993 - 03/21/1997 | SMITH BARNEY INC. | CRD# 7059 | NEW YORK, NY |
| B | 07/02/1993 - 07/31/1993 | LEHMAN BROTHERS INC. | CRD# 7506 | NEW YORK, NY |
| B | 05/09/1990 - 06/22/1993 | PAINWEBBER INCORPORATED | CRD# 8174 | WEEHAWKEN, NJ |
| B | 05/06/1981 - 05/17/1990 | PRUDENTIAL-BACHE SECURITIES INC. | CRD# 7471 | NEW YORK, NY |
| B | 03/26/1979 - 06/04/1981 | E. F. HUTTON & COMPANY INC | CRD# 235 | |

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 |
|-------------------|---|-----------------------------------|--------------------|--------------------------------|
| 11/2021 - Present | NewEdge Advisors LLC | Mass Transfer | Y | NEW ORLEANS, LA, United States |
| 03/1997 - Present | MID ATLANTIC CAPITAL CORPORATION | REGISTERED REPRESENTATIVE | Y | PITTSBURGH, PA, United States |
| 03/1997 - 11/2021 | MID ATLANTIC FINANCIAL MANAGEMENT, INC. | INVESTMENT ADVISER REPRESENTATIVE | Y | PITTSBURGH, PA, 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.

THREE RIVERS EQUITY MANAGEMENT, INC~INVESTMENT RELATED~1251 WATERFRONT PL,STE 510, PITTSBURGH,PA 15222~MARCH 1997~HEDGE FUND OF FUNDS MANAGEMENT~PRINCIPAL~140HRS PER MONTH~60HRS PER MONTH DURING MARKET~SELECTING & MONITORING MANAGERS FOR FUND, DEVELOPING QUARTERLY CORRESPONDENCE, SOME PRESENTATIONS

2) THREE RIVERS EQUITY MANAGEMENT, INC.~MARCH 1997~INVESTMENT RELATED~AT REPORTED BUSINESS LOCATION(S)~DBA FOR NEWEDGE SECURITIES, INC.~AS A REGSITERED REPRESENTATIVE IF NEWEDGE SECURITIES, INC. I CONDUCT COMMISSION BASED SECURITIES BUSINESS AS A BROKER DEALER AGENT. I SPEND 25 HOURS PER MONTH DURING TRADING HOURS ON THIS ACTIVITY AND 15 HOURS DURING NON-TRADING HOURS.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

3.New Edge Advisors*Yes Invest*Pittsburgh, PA*Investment Advisory*11/20/2021*Investment advice to clients.*50 Hrs trade/0 Non trade



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 |

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: | Regulator |
| Regulatory Action Initiated By: | NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. |
| Sanction(s) Sought: | |
| Other Sanction(s) Sought: | |
| Date Initiated: | 10/28/1988 |
| Docket/Case Number: | PHL-795 |
| Employing firm when activity occurred which led to the regulatory action: | PRUDENTIAL-BACHE SECURITIES INC. |
| Product Type: | |
| Other Product Type(s): | |
| Allegations: | |
| Current Status: | Final |
| Resolution: | Decision |
| Resolution Date: | 01/25/1991 |
| Sanctions Ordered: | Censure Monetary/Fine \$9,000.00 |
| Other Sanctions Ordered: | |
| Sanction Details: | |
| Regulator Statement | COMPLAINT NO. PHL-795 FILED OCTOBER 28, 1988 BY DISTRICT NO. 11 AGAINST RESPONDENTS ROBERT M. KOLACZYNSKI, RONALD W. |



THEORET,
 THOMAS F. MCKEOWN, MARK T. LUCERO AND J. MARK VEENIS ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENTS ENGAGED IN THE OFFER AND/OR SALE OF LIMITED PARTNERSHIP INTERESTS OUTSIDE THE NORMAL COURSE OF SCOPE OF THEIR EMPLOYMENT WITH A MEMBER FIRM AND FAILED TO PROVIDE THE FIRM WITH PRIOR WRITTEN NOTICE REQUIRED BY THE INTERPRETATION OF THE BOARD OF GOVERNORS CONCERNING PRIVATE SECURITIES TRANSACTIONS, THEN IN EFFECT; AND, RESPONDENT KOLACZYNSKI FAILED TO RESPOND TO THE ASSOCIATION'S REQUESTS FOR INFORMATION MADE PURSUANT TO ARTICLE IV, SECTION 5 OF THE RULES OF FAIR PRACTICE.

DECISION RENDERED DECEMBER 12, 1190, WHEREIN RESPONDENT KOLACZYNSKI WAS CENSURED, FINED \$25,000, AND BARRED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY; VEENIS WAS CENSURED, FINED \$9,000, AND ASSESSED COSTS OF \$574.50; AND, MCKEOWN WAS CENSURED, FINED \$9,000, AND ASSESSED COSTS OF \$615.00. A SEPARATE DECISION WILL BE RENDERED AS TO RESPONDENTS LUCERO AND THEORET. IF NO FURTHER ACTION, DECISION IS FINAL JANUARY 25, 1991.

JANUARY 25, 1991 - DECISION IS FINAL. DECISION RENDERED JANUARY 24, 1991, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENTS LUCERO AND THEORET WERE ACCEPTED; THEREFORE, LUCERO IS CENSURED AND FINED \$1,000 AND THEORET IS CENSURED AND FINED \$3,000.

\$-,574.50 PAID ON 1/10/91 INVOICE #90-11-1417

Reporting Source: Individual

Regulatory Action Initiated By: DISTRICT BUSINESS CONDUCT COMMITTEE FOR DISTRICT NO. 11

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/28/1988

Docket/Case Number: PHL-795

Employing firm when activity occurred which led to the regulatory action: PRUDENTIAL-BACHE SECURITIES INC.

Product Type:

Other Product Type(s):

Allegations: THE DBCC ALLEGES MR. VEENIS PARTICIPATED IN THE SOLICITATION AND SALE OF A LIMITED PARTNERSHIP WITHOUT THE KNOWLEDGE AND CONSENT OF A FORMER EMPLOYER PRUDENTIAL BACHE. THE DBCC FUTHER ALLEGED THAT MR. VEENIS RECEIVED AND ACCEPTED A \$10,000.00 COMMISSION FROM THIS LIMITED PARTNERSHIP

Current Status: Final



| | |
|---------------------------------|---|
| Resolution: | Decision |
| Resolution Date: | 01/25/1991 |
| Sanctions Ordered: | Censure Monetary/Fine \$9,000.00 |
| Other Sanctions Ordered: | |
| Sanction Details: | THE DBCC ISSUED A CENSURE AND FINE OF \$9000.00. TOTAL AMOUNT PAID BY MR. VENNIS. |
| Broker Statement | THE SPONSOR OF THE LIMITED PARTNERSHIP INVOLVED, REFERRED A \$10,000 FEE TO ME TO WHICH I DONATED THE SAME AMOUNT TO CHARITY. I WAS ALSO REPRIMANDED BY PRU-BACHE FOR \$2,500. |



End of Report

This page is intentionally left blank.