

## BrokerCheck Report

**JESS MCKENNEY SWICK**

CRD# 1030611

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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.

## About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**JESS M. SWICK**

CRD# 1030611

**Currently employed by and registered with the following Firm(s):**

- B** **NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC**  
 414 YALE AVENUE  
 SUITE A  
 CLAREMONT, CA 91711  
 CRD# 2881  
 Registered with this firm since: 06/04/1982

## Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

**This broker is registered with:**

- 1 Self-Regulatory Organization
- 13 U.S. states and territories

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

### Registration History

**This broker was previously registered with the following securities firm(s):**

- IA** **NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC**  
 CRD# 2881  
 MILWAUKEE, WI  
 04/2011 - 05/2017
- B** **ROBERT W. BAIRD & CO. INCORPORATED**  
 CRD# 8158  
 MILWAUKEE, WI  
 03/1989 - 01/2002



### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 13 U.S. states and territories through his or her employer.**

### Employment 1 of 1

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

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

Firm CRD#: **2881**

|   | SRO   | Category                          | Status   | Date       |
|---|-------|-----------------------------------|----------|------------|
| B | FINRA | Invest. Co and Variable Contracts | Approved | 06/04/1982 |

|   | U.S. State/ Territory | Category | Status   | Date       |
|---|-----------------------|----------|----------|------------|
| B | Arizona               | Agent    | Approved | 01/01/2002 |
| B | California            | Agent    | Approved | 01/01/2002 |
| B | Colorado              | Agent    | Approved | 01/01/2002 |
| B | Georgia               | Agent    | Approved | 09/20/2016 |
| B | Idaho                 | Agent    | Approved | 02/13/2019 |
| B | Indiana               | Agent    | Approved | 07/03/2025 |
| B | Nevada                | Agent    | Approved | 11/12/2020 |
| B | Ohio                  | Agent    | Approved | 01/19/2022 |
| B | Oregon                | Agent    | Approved | 07/18/2018 |
| B | South Dakota          | Agent    | Approved | 07/21/2021 |
| B | Texas                 | Agent    | Approved | 07/18/2018 |
| B | Utah                  | Agent    | Approved | 03/14/2018 |

Broker Qualifications



Employment 1 of 1, continued

| U.S. State/ Territory   | Category | Status   | Date       |
|-------------------------|----------|----------|------------|
| <div>B</div> Washington | Agent    | Approved | 01/01/2002 |

Branch Office Locations

NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC  
414 YALE AVENUE  
SUITE A  
CLAREMONT, CA 91711

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## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

| Exam                     | Category | Date |
|--------------------------|----------|------|
| No information reported. |          |      |

### General Industry/Product Exams

| Exam                                                                               | Category | Date       |
|------------------------------------------------------------------------------------|----------|------------|
| <b>B</b> Securities Industry Essentials Examination                                | SIE      | 10/01/2018 |
| <b>B</b> Investment Company Products/Variable Contracts Representative Examination | Series 6 | 06/02/1982 |

### State Securities Law Exams

| Exam                                                    | Category  | Date       |
|---------------------------------------------------------|-----------|------------|
| <b>B</b> Uniform Securities Agent State Law Examination | Series 63 | 11/30/2001 |

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **1** professional designation(s).

### Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

| Registration Dates          | Firm Name                                    | CRD# | Branch Location |
|-----------------------------|----------------------------------------------|------|-----------------|
| <b>IA</b> 04/2011 - 05/2017 | NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC | 2881 | CLAREMONT, CA   |
| <b>B</b> 03/1989 - 01/2002  | ROBERT W. BAIRD & CO. INCORPORATED           | 8158 | MILWAUKEE, WI   |

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

| Employment        | Employer Name                                 | Position          | Investment Related | Employer Location            |
|-------------------|-----------------------------------------------|-------------------|--------------------|------------------------------|
| 01/2016 - Present | Northwestern Mutual Wealth Management Company | Representative    | Y                  | Milwaukee, WI, United States |
| 10/1981 - Present | NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC  | OTHER - UNKNOWN   | Y                  | MILWAUKEE, WI, United States |
| 09/1970 - Present | NORTHWESTERN MUTUAL LIFE                      | SALES - Sales     | N                  | MILWAUKEE, WI, United States |
| 04/2011 - 03/2016 | NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC  | FINANCIAL ADVISOR | Y                  | CLAREMONT, CA, United States |

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. 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.

2. SELF-EMPLOYED/OWNER, ART-PAINTING BUSINESS, 463 W 7TH ST, CLAREMONT, CA 91711, SELL AND DONATE PAINTING PICTURES WITH ACRYLICS, APPROX. 5 HRS/MONTH, START DATE 1/2006.

3. BOARD MEMBER, POMONA VALLEY ESTATE PLANNING COUNCIL, 310 YALE AVE, CLAREMONT, , CALIFORNIA, 91711, UNITED STATES OF AMERICA, NON-PROFIT, START DATE: 10/30/2016, HOURS PER MONTH: 0-5, HOURS DURING SECURITIES TRADING

## Registration and Employment History



### Other Business Activities, continued

HOURS: 0-5, BOARD MEMBER ONLY

4. FINANCE COMMITTEE, PILGRIM PLACE, RETIREMENT CENTER, PILGRIM PLACE, CLAREMONT, , CALIFORNIA, 91711, UNITED STATES OF AMERICA, FIDUCIARY CAPACITY, START DATE: 01/27/2023, HOURS PER MONTH: 0-5, HOURS DURING SECURITIES TRADING HOURS: 0-5, CURRENTLY - BOARD MEMBER, FINANCE COMMITTEE

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## End of Report



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