

## BrokerCheck Report

**JAMES FRANCIS MARTIN**

CRD# 1218618

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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:
  - 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
  - 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).

**JAMES F. MARTIN**

CRD# 1218618

This broker is not currently registered.

## 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 not currently registered.**

#### This broker has passed:

- 2 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 2 State Securities Law Exams

### Registration History

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

- B MORGAN STANLEY**  
CRD# 149777  
West Conshohocken, PA  
04/2016 - 12/2022
- B CREDIT SUISSE SECURITIES (USA) LLC**  
CRD# 816  
WEST CONSHOHOCKEN, PA  
09/2008 - 05/2016
- B DEUTSCHE BANK SECURITIES INC.**  
CRD# 2525  
PHILADELPHIA, PA  
07/2003 - 09/2008

### 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? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Customer Dispute	2

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## 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 broker is not currently registered.



## 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 2 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Financial and Operations Principal Examination	Series 27	05/22/1989
<b>B</b> General Securities Principal Examination	Series 24	05/16/1989

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Foreign Currency Options Examination	Series 15	04/26/1984
<b>B</b> General Securities Representative Examination	Series 7	04/14/1984
<b>B</b> Interest Rate Options Examination	Series 5	03/30/1984
<b>B</b> National Commodity Futures Examination	Series 3	03/16/1984

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	09/12/2006
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/22/1984

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 **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 04/2016 - 12/2022	MORGAN STANLEY	149777	West Conshohocken, PA
<b>B</b> 09/2008 - 05/2016	CREDIT SUISSE SECURITIES (USA) LLC	816	WEST CONSHOHOCKEN, PA
<b>B</b> 07/2003 - 09/2008	DEUTSCHE BANK SECURITIES INC.	2525	PHILADELPHIA, PA
<b>B</b> 11/2000 - 07/2003	CREDIT SUISSE FIRST BOSTON LLC	816	NEW YORK, NY
<b>B</b> 12/1991 - 01/2003	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	7560	JERSEY CITY, NJ
<b>B</b> 11/1990 - 12/1991	WERTHEIM SCHRODER & CO. INCORPORATED	6112	NEW YORK, NY
<b>B</b> 05/1990 - 11/1990	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD
<b>B</b> 07/1989 - 05/1990	LAUB MARTIN INC.	24492	
<b>B</b> 04/1984 - 06/1989	DREXEL BURNHAM LAMBERT INCORPORATED	7323	

### 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
03/2023 - Present	Nordwand Investments	CEO	Y	Radnor, PA, United States
11/2022 - Present	Nordwand Advisors	CEO	Y	Radnor, PA, United States
05/2016 - 11/2022	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
04/2016 - 11/2022	Morgan Stanley	Financial Advisor	Y	West Conshohocken, PA, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2008 - 04/2016	CREDIT SUISSE SECURITIES (USA) LLC	DIRECTOR	Y	WEST CONSHOHOCKEN, PA, 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.

UPPER PROVIDENCE PLANNING COMMISSION 935 N. PROVIDENCE ROAD MEDIA PA 19063 USA GOVERNMENT;DIRECTOR/ADVISORY BOARD MEMBER;4 HOURS PER MONTH;NON WORKING HOURS;  
HARRISON VENTURES 304 HARPER DRIVE SUITE 103 MORRESTOWN NJ 8057 USA PARTNERSHIP/NON-SECURITIES-RELATED;LIMITED PARTNER;;NON WORKING HOURS;

RCBR Investments, LLC; Media PA, DE; INVESTMENT RELATED; SOLE PROPRIETOR/OWNER/PARTNER; MANAGING MEMBER; 04/2016; 0,1

LMG Investments; Brunswick NJ; Owner; Investment related; 1999; 0,1



## Disclosure Events



### What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	2	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION
<b>Allegations:</b>	CLAIMANTS' CLAIMS INCLUDE ALLEGATIONS OF BREACH OF FIDUCIARY DUTY, MISREPRESENTATION, VIOLATIONS OF MICHIGAN BLUE SKY LAWS AND BREACH OF CONTRACT. AMENDED STATEMENT OF CLAIM RECEIVED ON MARCH 24, 2005 INCLUDED ADDITIONAL ALLEGATIONS OF UNAUTHORIZED TRADING, MISMARKING OF TRADE TICKETS AND EXCESSIVE TRADING. MR. MARTIN AND CSFB DENY ALL ALLEGATIONS OF WRONGDOING
<b>Product Type:</b>	Equity - OTC
<b>Alleged Damages:</b>	\$1,294,128.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/28/2003
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	10/28/2003
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD DISPUTE RESOLUTION CASE NUMBER 03-07077

**Date Notice/Process Served:** 03/24/2005

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/09/2005

**Monetary Compensation Amount:** \$275,000.00

**Individual Contribution Amount:** \$75,000.00

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION

**Allegations:** CUSTOMERS CLAIM UNSUITABLE EQUITY RECOMMENDATIONS, BREACH OF FIDUCIARY DUTY FOR RECOMMENDING UNSUITABLE INVESTMENTS, FRAUDULENT MISREPRESENTATION, VIOLATIONS OF MICHIGAN'S BLUE SKY LAWS.

**Product Type:** Equity - OTC

**Alleged Damages:** \$1,100,000.00

## Customer Complaint Information

**Date Complaint Received:** 10/20/2003

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 10/20/2003

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information



**Arbitration/Reparation Claim  
filed with and Docket/Case  
No.:** NASD CASE # 03-07077

**Date Notice/Process Served:** 10/20/2003

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/09/2005

**Monetary Compensation  
Amount:** \$275,000.00

**Individual Contribution  
Amount:** \$75,000.00

#### Disclosure 2 of 2

**Reporting Source:** Firm

**Employing firm when  
activities occurred which led  
to the complaint:** CREDIT SUISSE FIRST BOSTON LLC

**Allegations:** CLIENT'S COMPLAINT INCLUDES ALLEGATIONS OF UNSUITABILITY AND UNAUTHORIZED TRADES. MR. MARTIN DENIES ALL ALLEGATIONS OF WRONGDOING.

**Product Type:** Debt - Corporate

**Alleged Damages:** \$320,000.00

#### Customer Complaint Information

**Date Complaint Received:** 11/15/2002

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/02/2003

**Settlement Amount:** \$65,000.00

**Individual Contribution  
Amount:** \$0.00

**Reporting Source:** Broker



**Employing firm when activities occurred which led to the complaint:** CREDIT SUISSE FIRST BOSTON LLC

**Allegations:** CLIENT'S COMPLAINT INCLUDES ALLEGATIONS OF UNSUITABILITY AND UNAUTHORIZED TRADES. MR. MARTIN DENIES ALL ALLEGATIONS OF WRONGDOING.

**Product Type:** Debt - Corporate

**Alleged Damages:** \$320,000.00

### **Customer Complaint Information**

**Date Complaint Received:** 11/15/2002

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/02/2003

**Settlement Amount:** \$65,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** MR. MARTIN VIGOROUSLY DENIES THE CUSTOMER'S ACCUSATIONS OF UNSUITABILITY AND UNAUTHORIZED TRADES. MR. MARTIN WAS NOT A PARTY TO THE SETTLEMENT DISCUSSIONS NOR APPROVED OF ANY SETTLEMENT. CSFB DID NOT ASK MR. MARTIN TO CONTRIBUTE TO THE SETTLEMENT NOR WILL CONTRIBUTION BE SOUGHT FROM HIM.

## End of Report



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