

## BrokerCheck Report

**JAMES PATRICK SHANAHAN JR**

CRD# 1501578

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 7
Disclosure Events	8



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 P. SHANAHAN JR**

CRD# 1501578

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

**B J.P. MORGAN INSTITUTIONAL INVESTMENTS INC.**  
 1 EAST OHIO STREET  
 INDIANAPOLIS, IN 46204  
 CRD# 102920  
 Registered with this firm since: 10/25/2006

**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
- 0 U.S. states and territories

**This broker has passed:**

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

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

**B WINTON ASSOCIATES, INC.**  
 CRD# 17655  
 CINCINNATI, OH  
 08/1986 - 03/2005

**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
Regulatory Event	1



## 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 0 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **J.P. MORGAN INSTITUTIONAL INVESTMENTS INC.**  
Main Office Address: **270 PARK AVENUE  
NEW YORK, NY 10017**  
Firm CRD#: **102920**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	10/25/2006
B	FINRA	General Securities Principal	Approved	10/25/2006
B	FINRA	General Securities Representative	Approved	10/25/2006
B	FINRA	Operations Professional	Approved	10/01/2018

### Branch Office Locations

**J.P. MORGAN INSTITUTIONAL INVESTMENTS INC.**  
1 EAST OHIO STREET  
INDIANAPOLIS, IN 46204



## 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, 4 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Financial and Operations Principal Examination	Series 27	06/21/1986
<b>B</b> General Securities Principal Examination	Series 24	06/05/1986

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	02/10/2016
<b>B</b> General Securities Representative Examination	Series 7	05/17/1986

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/14/1986

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> 08/1986 - 03/2005	WINTON ASSOCIATES, INC.	17655	CINCINNATI, OH

### 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
01/2007 - Present	JPMORGAN INVESTMENT MANAGEMENT INC.	MANAGING DIRECTOR	Y	CINCINNATI, OH, United States
10/2006 - Present	J.P. MORGAN INSTITUTIONAL INVESTMENTS INC.	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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.

Entity Name: AUTTX, LLC

Investment related: No

Address: Wellesley, Mass No website

Nature of the other business: Medical

Position/Title/Relationship: Owner/Partner

Start Date: 08/29/2025

Approximate # of hours a week: 0-10

Approximate # of hours during securities trading hours: 0

"Briefly describe your duties: AUTTX is an early stage company that has developed a novel therapeutic to address ALS. I will have no role other than as a passive investor I am aware of no connection to JPMC."

Entity Name: Nouvel Technologies, Inc.

Investment related: No

Address: <https://nouveltechnologies.com>



## Registration and Employment History

### Other Business Activities, continued

Nature of the other business: Engineering Company

Position: Owner/Partner

Start Date: 08/15/2025

Approximate # of hours a week: 0-10

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: Nouvel is a sustainability engineering company that has developed technology to dramatically improve the recovery of water from cooling towers.

ET: Twilight Bioscience

Inv: No

Address:: 100 Cummings Center, Suite 207-P Beverly, MA 01915 No current website"

Business: Medical

Title: Owner/Partner

Date: 03/07/2025

Approximate # of hours a week: 0-10

Trading hours: 0

Briefly describe your duties: Twilight is developing a vaccine approach to Alzheimer's and a number of neurodegenerative diseases.

ET: University of Cincinnati Investment Committee

Inv: Yes

Address: 51 Goodman Drive, Suite 250, Cincinnati, OH 45221-0633 <https://www.uc.edu/af/investment.html>

Nature of business: Set and oversee investment policy for the university and its endowment.

Title: Member of the investment committee

Date: 21-Feb-2019

Approximate # of hours a month: 12-20 annually

Trading hours: 12-20 annually

Briefly describe your duties: Set and oversee investment policy for the university and its endowment.

Entity: Vetmab Biosciences, Inc.

Inv: N

Address: 58 W. Portal Ave. #105, San Francisco, CA 94127

Business: Pet Services

Title: Vetmab is a start-up company that will focus on pet health.

Date: 05/20/2022

Approximate # of hours a month: 0-10

Trading hours: 0

Briefly describe your duties: Employee/Contractor

ET: Airway Therapeutics, Inc.

Inv: n

Address: 11804 Conrey Rd #175, Cincinnati, OH 45249 [www.airwaytherapeutics.com](http://www.airwaytherapeutics.com)

Business: Health Services



## Registration and Employment History

### Other Business Activities, continued

Title: Employee/Contractor

Date: 05/17/2022

Approximate # of hours a month: 0-10

Trading hours: 0

Briefly describe your duties: Airway Therapeutics is a biopharmaceutical company developing a new class of biologics to break the cycle of injury and inflammation for patients with respiratory and inflammatory diseases.

ET: Interscope, Inc.

Inv: n

Address: www.interscopemed.com 200 Commerce Drive Northbridge, MA 01534

Business: Medical Equipment

Title: Employee/Contractor

Date: 06/17/2022

Approximate # of hours a month: 0-10

Trading hours: 0

Briefly describe your duties: The company has developed and markets the EndoRotor, an endoscopic surgical tool.

ET: Good Samaritan Foundation

Inv: N

Address: Good Samaritan Foundation 375 Dixmyth Ave. Cincinnati, OH 45220<https://www.trihealth.com/foundations/good-samaritan-hospital-foundation>

Business: Health & Wellness

Title: Employee/Contractor

Date: 12/07/2022

Approximate # of hrs a month: 0-10

Trading hours: 0

Briefly describe your duties: The Good Samaritan Foundation provides philanthropic support to the Good Samaritan Hospital region, Good Samaritan College of Nursing and Health Science, and the Good Samaritan Free Health Center.

## 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.
  -
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
Regulatory Event	0	1	0



## 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.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	07/01/1998
<b>Docket/Case Number:</b>	C8B980012
<b>Employing firm when activity occurred which led to the regulatory action:</b>	WINTON ASSOCIATES, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	NASD RULES 1120(B) AND 2110 - A MEMBER FIRM, ACTING THROUGH RESPONDENT SHANAHAN, FAILED TO EVALUATE AND PRIORITIZE ITS TRAINING NEEDS AND DEVELOP A WRITTEN TRAINING PLAN, AND TO ADMINISTER ANY PORTION OF THE FIRM ELEMENT OF THE CONTINUING EDUCATION REQUIREMENTS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)



<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	07/01/1998
<b>Sanctions Ordered:</b>	Censure Civil and Administrative Penalty(ies)/Fine(s)
<b>Regulator Statement</b>	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS,SHANAHAN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS CENSURED AND FINED \$2,500, JOINTLY AND SEVERALLY. FINE PAID 02/25/1999.
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<b>Reporting Source:</b>	Firm
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	07/01/1998
<b>Docket/Case Number:</b>	C8B980012
<b>Employing firm when activity occurred which led to the regulatory action:</b>	WINTON ASSOCIATES, INC.
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	FAILURE TO EVALUATE AND PRIORITIZE TRAINING NEEDS AND DEVELOP A WRITTEN TRAINING PLAN & TO ADMINISTER FIRM ELEMENT OF CONTINUING EDUCATION REQUIREMENTS IN 1996 & 1997.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	07/07/1998
<b>Sanctions Ordered:</b>	Monetary/Fine \$2,500.00



**Other Sanctions Ordered:** NO OTHER PENALTIES WERE IMPOSED.

**Sanction Details:** A MONETARY SANCTION OF \$2,500 WAS IMPOSED IN A LETTER DATED FEBRUARY 18, 1999 AND PAYMENT WAS MADE ON FEBRUARY 23, 1999.

**Firm Statement** ALTHOUGH MR. SHANAHAN ENGAGED IN A SIGNIFICANT AMOUNT OF CONTINUING EDUCATION ACTIVITIES IN 1996 AND 1997, THESE ACTIVITIES WERE NOT UNDERTAKEN PURSUANT TO A WRITTEN EVALUATION AND TRAINING PLAN AS REQUIRED BY THE NASD'S CONTINUING EDUCATION RULES.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD REGULATION, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 05/19/1998

**Docket/Case Number:** C8B980012

**Employing firm when activity occurred which led to the regulatory action:** WINTON ASSOCIATES, INC.

**Product Type:** Other

**Other Product Type(s):** COMPANY'S BUSINESS CONSISTS EXCLUSIVELY OF PROVIDING INVESTMENT BANKING ADVICE IN CONNECTION WITH THE SALES OF BUSINESSES, RIGHTS OFFERINGS BY A CLOSED-END BOND FUND, THE PLACEMENT OF PREFERRED STOCK BY A CLOSED-END BOND FUND AND SIMILAR TRANSACTIONS.

**Allegations:** FAILURE TO EVALUATE AND PRIORITIZE TRAINING NEEDS AND DEVELOP A WRITTEN TRAINING PLAN TO ADMINISTER FIRM ELEMENT OF CONTINUING EDUCATION REQUIREMENTS IN 1996 AND 1997.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 07/01/1998

**Sanctions Ordered:** Monetary/Fine \$2,500.00

**Other Sanctions Ordered:**



**Sanction Details:**

\$2500 FINE, NO OTHER PENALTY.

**Broker Statement**

ALTHOUGH MR. SHANAHAN ENGAGED IN A SIGNIFICANT AMOUNT OF CONTINUING EDUCATION ACTIVITIES IN 1996 AND 1997, THESE ACTIVITIES WERE NOT UNDERTAKEN PURSUANT TO A WRITTEN EVALUATION AND TRAINING PLAN, AS REQUIRED BY THE NASD'S CONTINUING EDUCATION RULES.

## End of Report



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