

## BrokerCheck Report

**Joseph Peter Bartolomeo**

CRD# 2392412

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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).



## Joseph P. Bartolomeo

CRD# 2392412

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

**IA RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
 67 E Park Pl  
 Ste 750  
 Morristown, NJ 07960  
 CRD# 149018  
 Registered with this firm since: 08/13/2025

**B RAYMOND JAMES FINANCIAL SERVICES, INC.**  
 67 E Park Pl  
 Ste 750  
 Morristown, NJ 07960  
 CRD# 6694  
 Registered with this firm since: 08/11/2025

## 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
- 3 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

**IA M HOLDINGS SECURITIES, INC.**  
 CRD# 43285  
 PORTLAND, OR  
 07/2024 - 08/2025

**B M HOLDINGS SECURITIES, INC.**  
 CRD# 43285  
 Morristown, NJ  
 06/2024 - 08/2025

**IA ROCKEFELLER CAPITAL MANAGEMENT**  
 CRD# 291361  
 NEW YORK, NY  
 08/2020 - 05/2022

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

### Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
 Main Office Address: **880 CARILLON PARKWAY  
 SAINT PETERSBURG, FL 33716**  
 Firm CRD#: **149018**

	U.S. State/ Territory	Category	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	08/13/2025

### Branch Office Locations

67 E Park Pl  
 Ste 750  
 Morristown, NJ 07960

Colts Neck, NJ

### Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**  
 Main Office Address: **880 CARILLON PARKWAY  
 ST. PETERSBURG, FL 33716**  
 Firm CRD#: **6694**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	08/11/2025
B	FINRA	General Securities Representative	Approved	08/11/2025
B	FINRA	Investment Banking Representative	Approved	08/11/2025



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	Securities Trader	Approved	08/11/2025

U.S. State/ Territory	Category	Status	Date
B Colorado	Agent	Approved	11/13/2025
B Florida	Agent	Approved	08/11/2025
B New Jersey	Agent	Approved	08/19/2025

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES, INC.  
67 E Park Pl  
Ste 750  
Morristown, NJ 07960



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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	05/17/1994

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Trader Exam	Series 57TO	01/02/2023
<b>B</b> Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Limited Representative-Equity Trader Exam	Series 55	11/16/1999
<b>B</b> General Securities Representative Examination	Series 7	09/02/1993

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	01/11/2018
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	09/14/1993

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>IA</b> 07/2024 - 08/2025	M HOLDINGS SECURITIES, INC.	43285	Morristown, NJ
<b>B</b> 06/2024 - 08/2025	M HOLDINGS SECURITIES, INC.	43285	Morristown, NJ
<b>IA</b> 08/2020 - 05/2022	ROCKEFELLER CAPITAL MANAGEMENT	291361	New York, NY
<b>B</b> 05/2020 - 05/2022	ROCKEFELLER FINANCIAL LLC	291361	New York, NY
<b>IA</b> 10/2018 - 05/2020	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	NEW YORK, NY
<b>B</b> 10/2018 - 05/2020	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	NEW YORK, NY
<b>IA</b> 01/2018 - 10/2018	FIRST ALLIED ADVISORY SERVICES, INC.	137888	Bayonne, NJ
<b>B</b> 12/2017 - 10/2018	FIRST ALLIED SECURITIES, INC.	32444	BAYONNE, NJ
<b>B</b> 02/2004 - 11/2017	THE BENCHMARK COMPANY, LLC	22982	RED BANK, NJ
<b>B</b> 06/2002 - 01/2004	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL
<b>B</b> 05/1994 - 06/2002	NDB CAPITAL MARKETS, LP	7172	NEW YORK, NY
<b>B</b> 01/1994 - 05/1994	NATIONAL DISCOUNT BROKERS	27501	OMAHA, NE
<b>B</b> 09/1993 - 01/1994	SHERWOOD SECURITIES CORP.	7172	NEW YORK, NY
<b>B</b> 09/1993 - 10/1993	PARAGON CAPITAL CORPORATION	18555	EAST HANOVER, NJ

### Employment History





## Registration and Employment History

### Employment History, continued

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
08/2025 - Present	Raymond James Financial Services Advisors Inc.	Investment Advisor Representative	Y	Morristown, NJ, United States
08/2025 - Present	Raymond James Financial Services Inc.	Registered Representative	Y	Morristown, NJ, United States
09/2005 - Present	N/A	Other	N	Various Cioties, NJ, United States
06/2024 - 08/2025	M Holdings Securities, Inc.	Registered Representative	Y	Portland, OR, United States
05/2020 - 05/2022	Rockefeller Financial LLC	PWA -SVP	Y	New York, NY, United States
10/2018 - 05/2020	STIFEL, NICOLAUS & COMPANY, INC	Registered Representative	Y	New York, NY, United States
10/2018 - 05/2020	Stifel Nicolaus & Company Inc	Registered Representative	Y	New York, NY, United States
12/2017 - 10/2018	FIRST ALLIED SECURITIES LLC	Registered Representative	Y	San Diego, CA, United States
02/2004 - 12/2017	THE BENCHMARK COMPANY LLC	MANAGING DIRECTOR -SALES	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.

(1)Name of Business: Eagle Rock Wealth Address: 67 E Park Pl Ste 750, Morristown, NJ, 07960-7103, United States Activity Type: Support Company - Non Owner Position/Title: Associate/Employee Investment Related: No Start Date: 08/01/2024 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 41+ Description of duties: Financial Advisor

(2)Name of Business: Greenberg & Rapp Address: 67 E Park Pl Ste 750, Morristown, NJ, 07960-7103, United States Activity Type: Support Company - Non Owner Position/Title: Associate/Employee Investment Related: No Start Date: 08/01/2024 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 41+ Description of duties: Financial Advisor

(3)Name of Business: NJ Sharing Network Address: 691 Central Avenue , New Providence, NJ, 07974, United States Activity Type: Non profit Position/Title: Advisory Board Investment Related: No Start Date: 06/01/2023 Hours per month devoted to this business: 2-10 Hours per month

## Registration and Employment History



### Other Business Activities, continued

devoted to this business during trading hours: 0-1 Description of duties: I sit on Foundation Board , I am consulted 5k & Golf outing

(4)Name of Business: Scouting America - Monmouth Council Address: 705 Ginesi Dr , Morganville, NJ, 07751, United States Activity Type: Non profit Position/Title: Executive Member Investment Related: No Start Date: 01/01/2025 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Finance Chairman

(5)Name of Business: Semper Fi Santa Address: 9 Old Stable Way , Colts Neck , NJ, 07722, United States Activity Type: Non profit Position/Title: Advisory Board Investment Related: No Start Date: 01/01/2016 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Founding member on Board of Directors\nWe raise money for Service men & women for the holiday season.

(6)Name of Business: The Charlotte Group Address: 9 Old Stable Way , Colts Neck , NJ, 07722, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 01/01/2020 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 11-20 Description of duties: Consultation & public speaking , personal self help

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## End of Report



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