

## BrokerCheck Report

# DANIEL BRACE JONES

CRD# 3006261

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

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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)

**DANIEL B. JONES**

CRD# 3006261

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

- B** **NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC**  
19 CAMPION RD  
NEW HARTFORD, NY 13413  
CRD# 2881  
Registered with this firm since: 01/27/1999

**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
- 37 U.S. states and territories

**This broker has passed:**

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

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

- B** **ROBERT W. BAIRD & CO. INCORPORATED**  
CRD# 8158  
MILWAUKEE, WI  
03/2000 - 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 37 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**

	<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	01/27/1999
<b>B</b>	FINRA	General Securities Representative	Approved	12/21/2006
<b>B</b>	FINRA	Investment Co./Variable Contracts Prin	Approved	04/08/2010

	<b>U.S. State/ Territory</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Alabama	Agent	Approved	02/18/2014
<b>B</b>	Alaska	Agent	Approved	03/27/2025
<b>B</b>	Arizona	Agent	Approved	02/18/2014
<b>B</b>	Arkansas	Agent	Approved	01/12/2023
<b>B</b>	California	Agent	Approved	01/02/2013
<b>B</b>	Colorado	Agent	Approved	01/19/2011
<b>B</b>	Connecticut	Agent	Approved	06/08/2009
<b>B</b>	District of Columbia	Agent	Approved	04/08/2021
<b>B</b>	Florida	Agent	Approved	07/30/2004
<b>B</b>	Georgia	Agent	Approved	04/15/2004



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	01/06/2011
B	Kentucky	Agent	Approved	01/12/2023
B	Maine	Agent	Approved	01/06/2011
B	Maryland	Agent	Approved	03/05/2020
B	Massachusetts	Agent	Approved	01/20/2004
B	Michigan	Agent	Approved	10/24/2013
B	Mississippi	Agent	Approved	08/21/2023
B	Missouri	Agent	Approved	01/02/2013
B	Montana	Agent	Approved	02/27/2025
B	Nevada	Agent	Approved	01/16/2025
B	New Hampshire	Agent	Approved	02/21/2023
B	New Jersey	Agent	Approved	01/06/2011
B	New York	Agent	Approved	01/01/2002
B	North Carolina	Agent	Approved	01/01/2002
B	Ohio	Agent	Approved	02/19/2014
B	Oregon	Agent	Approved	10/26/2022
B	Pennsylvania	Agent	Approved	09/09/2002
B	Rhode Island	Agent	Approved	01/16/2013
B	South Carolina	Agent	Approved	01/21/2009
B	South Dakota	Agent	Approved	02/27/2025
B	Texas	Agent	Approved	02/18/2014



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Utah	Agent	Approved	02/18/2014
B	Vermont	Agent	Approved	01/06/2011
B	Virginia	Agent	Approved	02/06/2002
B	Washington	Agent	Approved	01/23/2026
B	West Virginia	Agent	Approved	02/27/2025
B	Wisconsin	Agent	Approved	02/27/2025

### Branch Office Locations

#### **NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC**

19 CAMPION RD  
NEW HARTFORD, NY 13413

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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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Investment Company Products/Variable Contracts Principal Examination	Series 26	04/07/2010

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	12/20/2006
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	01/26/1999

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	05/23/2007
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	11/16/2000

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> 03/2000 - 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
12/2008 - Present	NORTHWESTERN MUTUAL WEALTH MANAGEMENT COMPANY	REPRESENTATIVE	Y	MILWAUKEE, WI, United States
05/2008 - Present	BRACE FARMS	100 PERCENT OWNER OF FARM	N	WEST WINFIELD, MN, United States
02/2005 - Present	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	IAR	Y	CLAYVILLE, NY, United States
08/1998 - Present	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	NOT PROVIDED	Y	MILWAUKEE, WI, United States
02/1998 - Present	NORTHWESTERN MUTUAL LIFE	OTHER - SPECIAL AGENT	N	MILWAUKEE, WI, 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. COACHES JV SOCCER AT WATERVILLE CSD SCHOOL. WATERVILLE, NY 13480. DEVOTES 60 HOURS DURING SEPTEMBER AND OCTOBER. THIS IS NOT INVESTMENT RELATED .
2. PARTNER, LA STEWART, THIRD PARTY ADMINISTRATION FIRM, 14 KELLOGG ROAD, HARTFORD, NY 13413
3. 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.



## Registration and Employment History

### Other Business Activities, continued

4. 33.3% OWNER OF CENTER STATE DEVELOPMENT, LLC. RENTAL PROPERTY, (COMMERCIAL) 428 BRACE RD, WEST WINFIELD, , NEW YORK, 13451, UNITED STATES OF AMERICA, INVESTMENT PROPERTY, START DATE: 10/12/2006, HOURS PER MONTH: 0-5, HOURS DURING SECURITIES TRADING HOURS: 0-5, OWN A BUILDING AND LAND/STORAGE UNITS
  5. PRESIDENT OF THE GREATER WINFIELD AREA HISTORICAL SOCEITY, LEADS MEETING 1X/MO, 2 HRS/MO, NOT INVESTMENT RELATED  
100% OWNER OF BRACE FARMS.
  6. PREVIOUSLY DISCLOSED AS A WORKER AT BRACE FARMS. NET INCOME WILL BE NEGLIGABLE FOR NOW.
  7. PREVIOUSLY DISCLOSED 100% OWNERSHIP IN BRACE FARMS. RECEIVED UPDATED DISCLOSURE REGARDING START DATE. UPDATED TO 5/2008. ANTICIPATED ANNUAL EARNINGS LESS THAN \$5,000.
  8. TRUSTEE, DBJ TRUST; AMPJ TRUST, 428 BRACE RD, WEST WINFIELD, , NEW YORK, 13491, UNITED STATES OF AMERICA, IMMEDIATE FAMILY, START DATE: 3/27/2017, HOURS PER MONTH: 0-5, HOURS DURING SECURITIES TRADING HOURS: 0-5, I AM THE TRUSTEE OF MY OWN REVOCABLE TRUST AND OF MY WIFE'S REVOCABLE TRUST
  9. OWNER, BRACE MANAGEMENT, LLC (WMC COMP AND EA EMPLOYMENT), LEGAL ENTITY WMC COMPENSATION AND EA EMPLOYMENT, START DATE: 10/25/2022, HOURS PER MONTH: 80+, HOURS DURING SECURITIES TRADING HOURS: 41-79, ESTABLISHED FOR BUSINESS PURPOSES; INVESTMENT-RELATED
  10. 100% OWNER, W WINFIELD HOLDINGS, LLC, LEGAL ENTITY, START DATE: 10/25/2022, HOURS PER MONTH: 80+, HOURS DURING SECURITIES TRADING HOURS: 41-79, LEGAL ENTITY ESTABLISHED FOR BUSINESS PURPOSES.
  11. HP & TRACTION, LLC, NON-FINANCIAL SERVICES BUSINESS, START DATE: 8/7/2024, HOURS PER MONTH: 0-5, HOURS DURING SECURITIES TRADING HOURS: 0-5, PARTNER WITH ANDREW HALLIDAY. PRIMARILY BUSINESS DISCUSSION, NO DIRECT INVOLVEMENT IN OPERATIONS; NON INVESTMENT-RELATED.
  12. TRUSTEE - INVESTMENT COMMITTEE, UTICA UNIVERSITY, 1600 BURRSTONE ROAD, UTICA, , NEW YORK, 13501, UNITED STATES OF AMERICA, FIDUCIARY CAPACITY, START DATE: 05/01/2025, HOURS PER MONTH: 0-5, HOURS DURING SECURITIES TRADING HOURS: 0-5, NON-INVESTMENT RELATED.
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## End of Report



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