

BrokerCheck Report

LISA K BARNES

CRD# 4364504

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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



For additional information about the contents of this report, please refer to the User Guidance or 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.

**LISA K. BARNES**

CRD# 4364504

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

IA ROCKEFELLER CAPITAL MANAGEMENT
 609 SW 8th Street, 6th floor
 Bentonville, AR 72712
 CRD# 291361
 Registered with this firm since: 11/29/2024

B ROCKEFELLER FINANCIAL LLC
 609 SW 8th Street, 6th floor
 Bentonville, AR 72712
 CRD# 291361
 Registered with this firm since: 11/29/2024

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
- 30 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 NEW YORK, NY
 10/2018 - 12/2024
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 ROGERS, AR
 10/2018 - 12/2024
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 TULSA, OK
 05/2012 - 08/2018

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 30 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **ROCKEFELLER FINANCIAL LLC**

Main Office Address: **45 ROCKEFELLER PLAZA
FLOOR 5
NEW YORK, NY 10111**

Firm CRD#: **291361**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	11/29/2024
B	FINRA	General Securities Sales Supervisor	Approved	11/29/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	12/06/2024
B	Arizona	Agent	Approved	11/29/2024
B	Arkansas	Agent	Approved	11/29/2024
IA	Arkansas	Investment Adviser Representative	Approved	11/29/2024
B	California	Agent	Approved	11/29/2024
B	Colorado	Agent	Approved	11/29/2024
B	Delaware	Agent	Approved	11/29/2024
B	Florida	Agent	Approved	11/29/2024
B	Georgia	Agent	Approved	11/29/2024
B	Idaho	Agent	Approved	11/29/2024
B	Illinois	Agent	Approved	12/03/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	11/29/2024
B	Kansas	Agent	Approved	11/29/2024
B	Kentucky	Agent	Approved	11/29/2024
B	Louisiana	Agent	Approved	11/29/2024
B	Maryland	Agent	Approved	11/29/2024
B	Missouri	Agent	Approved	11/29/2024
B	Montana	Agent	Approved	11/29/2024
B	Nevada	Agent	Approved	11/29/2024
B	New Hampshire	Agent	Approved	11/29/2024
B	New Jersey	Agent	Approved	11/29/2024
B	New York	Agent	Approved	11/29/2024
B	North Carolina	Agent	Approved	11/29/2024
B	Ohio	Agent	Approved	11/29/2024
B	Oklahoma	Agent	Approved	11/29/2024
IA	Oklahoma	Investment Adviser Representative	Approved	12/02/2024
B	Oregon	Agent	Approved	11/29/2024
B	Pennsylvania	Agent	Approved	11/29/2024
B	South Carolina	Agent	Approved	11/29/2024
B	Tennessee	Agent	Approved	11/29/2024
B	Texas	Agent	Approved	11/29/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	11/29/2024

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Virginia	Agent	Approved	11/29/2024

Branch Office Locations

ROCKEFELLER FINANCIAL LLC
609 SW 8th Street, 6th floor
Bentonville, AR 72712

ROCKEFELLER FINANCIAL LLC
Tahlequah, OK



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	09/12/2003
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/10/2003

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	08/17/2018
B Futures Managed Funds Examination	Series 31	08/02/2010
B General Securities Representative Examination	Series 7	03/12/2001

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	05/04/2007
B Uniform Securities Agent State Law Examination	Series 63	04/04/2001

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/.

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
IA 10/2018 - 12/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ROGERS, AR
B 10/2018 - 12/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ROGERS, AR
B 05/2012 - 08/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	TULSA, OK
IA 05/2012 - 08/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	TULSA, OK
B 06/2009 - 05/2012	MORGAN STANLEY SMITH BARNEY	149777	TULSA, OK
IA 06/2009 - 05/2012	MORGAN STANLEY SMITH BARNEY LLC	149777	TULSA, OK
IA 02/2008 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	TULSA, OK
B 02/2008 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	TULSA, OK
IA 05/2007 - 02/2008	J. P. MORGAN SECURITIES INC.	18718	TULSA, OK
B 02/2007 - 02/2008	J.P. MORGAN SECURITIES INC.	18718	TULSA, OK
B 03/2001 - 02/2007	CITIGROUP GLOBAL MARKETS INC.	7059	TULSA, OK

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
11/2024 - Present	ROCKEFELLER FINANCIAL LLC	ASSOCIATE VICE PRESIDENT	Y	TAHLEQUAH, OK, United States
10/2018 - 11/2024	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Reg Senior Client Assoc (FP)	Y	ROGERS, AR, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2018 - 03/2019	Muskogee County Enhanced 911 Center	Dispatcher/911 Operator	N	Muskogee, OK, United States
05/2012 - 08/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	REGISTERED CLIENT ASSOCIATE	Y	TULSA, OK, 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.

No information reported.

End of Report



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