

BrokerCheck Report

JOHN SCOTT ELLSPERMANN

CRD# 4568620

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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



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.

**JOHN S. ELLSPERMANN**

CRD# 4568620

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

IA NUVEEN ASSET MANAGEMENT, LLC
 333 WEST WACKER DRIVE
 CHICAGO, IL 60606
 CRD# 155584
 Registered with this firm since: 06/23/2023

B NUVEEN SECURITIES, LLC
 333 WEST WACKER DRIVE
 CHICAGO, IL 60606-1286
 CRD# 469
 Registered with this firm since: 03/21/2023

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
- 53 U.S. states and territories

This broker has passed:

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

Registration History

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

B AMERICAN CENTURY INVESTMENT SERVICES INC.
 CRD# 17437
 KANSAS CITY, MO
 08/2020 - 03/2023

B TORTOISE SECURITIES, LLC
 CRD# 285411
 OVERLAND PARK, KS
 02/2020 - 08/2020

B STATE STREET GLOBAL ADVISORS FUNDS DISTRIBUTORS, LLC
 CRD# 30107
 KANSAS CITY, MO
 05/2009 - 02/2020

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

Employment 1 of 2

Firm Name: **NUVEEN ASSET MANAGEMENT, LLC**
 Main Office Address: **333 WEST WACKER DRIVE
CHICAGO, IL 60606**
 Firm CRD#: **155584**

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	06/23/2023

Branch Office Locations

333 WEST WACKER DRIVE
CHICAGO, IL 60606

Employment 2 of 2

Firm Name: **NUVEEN SECURITIES, LLC**
 Main Office Address: **333 WEST WACKER DRIVE
CHICAGO, IL 60606-1286**
 Firm CRD#: **469**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	03/21/2023
B	FINRA	General Securities Representative	Approved	03/21/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/21/2023

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	03/21/2023
B	Arizona	Agent	Approved	03/21/2023
B	Arkansas	Agent	Approved	03/21/2023
B	California	Agent	Approved	03/21/2023
B	Colorado	Agent	Approved	03/21/2023
B	Connecticut	Agent	Approved	03/21/2023
B	Delaware	Agent	Approved	03/21/2023
B	District of Columbia	Agent	Approved	03/21/2023
B	Florida	Agent	Approved	03/21/2023
B	Georgia	Agent	Approved	03/21/2023
B	Hawaii	Agent	Approved	03/21/2023
B	Idaho	Agent	Approved	03/21/2023
B	Illinois	Agent	Approved	03/21/2023
B	Indiana	Agent	Approved	03/21/2023
B	Iowa	Agent	Approved	03/21/2023
B	Kansas	Agent	Approved	03/21/2023
B	Kentucky	Agent	Approved	03/21/2023
B	Louisiana	Agent	Approved	03/21/2023
B	Maine	Agent	Approved	03/21/2023
B	Maryland	Agent	Approved	03/21/2023
B	Massachusetts	Agent	Approved	03/21/2023

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	03/21/2023
B	Minnesota	Agent	Approved	03/21/2023
B	Mississippi	Agent	Approved	03/21/2023
B	Missouri	Agent	Approved	03/21/2023
B	Montana	Agent	Approved	03/21/2023
B	Nebraska	Agent	Approved	03/21/2023
B	Nevada	Agent	Approved	03/21/2023
B	New Hampshire	Agent	Approved	03/21/2023
B	New Jersey	Agent	Approved	03/21/2023
B	New Mexico	Agent	Approved	03/21/2023
B	New York	Agent	Approved	03/21/2023
B	North Carolina	Agent	Approved	03/21/2023
B	North Dakota	Agent	Approved	03/21/2023
B	Ohio	Agent	Approved	03/21/2023
B	Oklahoma	Agent	Approved	03/21/2023
B	Oregon	Agent	Approved	03/21/2023
B	Pennsylvania	Agent	Approved	03/21/2023
B	Puerto Rico	Agent	Approved	03/21/2023
B	Rhode Island	Agent	Approved	03/21/2023
B	South Carolina	Agent	Approved	03/21/2023
B	South Dakota	Agent	Approved	03/21/2023

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Tennessee	Agent	Approved	03/21/2023
B	Texas	Agent	Approved	03/21/2023
B	Utah	Agent	Approved	03/21/2023
B	Vermont	Agent	Approved	03/21/2023
B	Virgin Islands	Agent	Approved	03/21/2023
B	Virginia	Agent	Approved	03/21/2023
B	Washington	Agent	Approved	03/21/2023
B	West Virginia	Agent	Approved	03/21/2023
B	Wisconsin	Agent	Approved	03/21/2023
B	Wyoming	Agent	Approved	03/21/2023

Branch Office Locations

NUVEEN SECURITIES, LLC
 333 WEST WACKER DRIVE
 CHICAGO, IL 60606-1286



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	02/07/2015

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/21/2002

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	08/10/2023
B IA Uniform Combined State Law Examination	Series 66	09/30/2002

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
B 08/2020 - 03/2023	AMERICAN CENTURY INVESTMENT SERVICES INC.	17437	KANSAS CITY, MO
B 02/2020 - 08/2020	TORTOISE SECURITIES, LLC	285411	OVERLAND PARK, KS
B 05/2009 - 02/2020	STATE STREET GLOBAL ADVISORS FUNDS DISTRIBUTORS, LLC	30107	KANSAS CITY, MO
IA 10/2002 - 04/2009	UBS FINANCIAL SERVICES INC.	8174	CHICAGO, IL
B 09/2002 - 04/2009	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ

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
02/2023 - Present	NUVEEN SECURITIES, LLC	Registered Representative	Y	Mission Hills, KS, United States
02/2023 - Present	Nuveen Asset Management LLC	Registered Investment Advisor	Y	Chicago, IL, United States
08/2020 - 02/2023	American Century Investment Services, Inc.	Registered Representative	Y	Kansas City, MO, United States
01/2020 - 08/2020	TORTOISEECOFIN INVESTMENTS PARTNERS, LLC	Registered Investment Advisor	Y	Leawood, KS, United States
01/2020 - 08/2020	Tortoise Securities, LLC	Registered Representative	Y	Leawood, KS, United States
04/2009 - 01/2020	STATE STREET BANK AND TRUST	REGIONAL CONSULTANT	Y	KANSAS CITY, MO, United States
04/2009 - 01/2020	STATE STREET GLOBAL ADVISORS FUNDS DISTRIBUTORS LLC	Registered Representative	Y	KANSAS CITY, MO, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2009 - 01/2020	STATE STREET GLOBAL ADVISORS TRUST COMPANY	REGIONAL CONSULTANT	Y	KANSAS CITY, MO, 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.

Name: Waypoint Mutual

Position: Board Director

Nature: Waypoint Mutual, previously Midwest Builders' Casualty, is a regional expert in workers' compensation insurance for construction, manufacturing, and other industries with similar exposure. They pride ourselves on formulating long-term partnerships with our policyholders.

They offer quick access to decision-makers and personalized service from a consistent, experienced team

Investment Related: yes

Hours: This would be a 2 hour a Quarter commitment outside of Nuveen hours.

Securities Trading Hours: N/A

Start Date: 1/1/2025

Address: 1100 Walnut St., Suite 3000 Kansas City, MO 64106

Description: As a director of Waypoint Mutual, I would serve as a fiduciary of the mutual insurance company, providing oversight and direction to the management team. As a highly regulated insurance company, they are required to have a board of directors and regularly report on business activities. Directors approve rate filings, the purchase of reinsurance, territory growth/expansion, set agency commission levels, review operating results. Directors do not get involved in the day-to-day activities of our business, that is delegated to the executive team and staff. Directors typically meet four times a year and will occasionally meet virtually for issues that arise and need to be addressed. This position would not be identifying or approving investment activity. As a member of the audit and investment committee you will be provided reports on our current investment managers from our independent investment monitor and will be asked periodically to give input on the company's investment policy with any recommendations for change going back to the full board of directors. None of the directors are asked to identify, recommend, or approve individual investments or investment managers - they utilize a 3rd party to assist with investment manager selection.

End of Report



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