

## BrokerCheck Report

### Caroline Marcy Knox

CRD# 7252702

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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).

**Caroline M. Knox**

CRD# 7252702

**Currently employed by and registered with the following Firm(s):****B NORTHWESTERN MUTUAL  
INVESTMENT SERVICES, LLC**

1250 Wood Branch Park Dr  
Suite 600  
Houston, TX 77079  
CRD# 2881

Registered with this firm since: 03/29/2021

## 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
- 17 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

No information reported.

### 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 17 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**

SRO	Category	Status	Date
FINRA	Invest. Co and Variable Contracts	Approved	03/29/2021
FINRA	General Securities Representative	Approved	07/31/2024

U.S. State/ Territory	Category	Status	Date
Alabama	Agent	Approved	10/16/2023
Arkansas	Agent	Approved	11/08/2022
California	Agent	Approved	10/16/2023
Florida	Agent	Approved	10/12/2021
Kansas	Agent	Approved	01/11/2024
Louisiana	Agent	Approved	06/04/2021
Massachusetts	Agent	Approved	05/29/2025
Michigan	Agent	Approved	01/11/2024
Minnesota	Agent	Approved	12/15/2023
Missouri	Agent	Approved	11/17/2025
Nevada	Agent	Approved	09/23/2024

## Broker Qualifications



### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B New Mexico	Agent	Approved	01/11/2024
B North Carolina	Agent	Approved	09/18/2024
B North Dakota	Agent	Approved	08/28/2023
B South Carolina	Agent	Approved	06/23/2022
B Tennessee	Agent	Approved	07/08/2024
B Texas	Agent	Approved	05/10/2021

### Branch Office Locations

**NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC**  
1250 Wood Branch Park Dr  
Suite 600  
Houston, TX 77079

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

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	07/30/2024
B Investment Company Products/Variable Contracts Representative Examination	Series 6TO	03/29/2021
B Securities Industry Essentials Examination	SIE	03/11/2021

### State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/07/2021

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
No information reported.			

## 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
05/2021 - Present	Northwestern Mutual Wealth Management	Representative	Y	Milwaukee, WI, United States
01/2021 - Present	Northwestern Mutual Investment Services LLC	Registered Representative	Y	Houston, TX, United States
05/2020 - Present	Northwestern Mutual Life Insurance Company	Agent	Y	Milwaukee, WI, United States
03/2020 - Present	Beautycounter	Consultant in direct retail sales	N	Houston, TX, United States
01/2020 - 03/2020	Vacations To Go	Travel Agent	N	Houston, TX, United States
04/2010 - 01/2020	Retired or Never Worked	Retired or Never Worked	N	Houston, TX, 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. OUTSIDE INSURANCE GENERAL SALES/SERVICING, GENERAL SALES/SERVICING, START DATE: 7/22/2020, HOURS PER MONTH: 0-5, HOURS DURING SECURITIES TRADING HOURS: 0-5, AGENT
2. OWNER, DJMK, LLC, LEGAL ENTITY, START DATE: 09/12/2024, HOURS PER MONTH: 80+, HOURS DURING SECURITIES TRADING HOURS: 80+, LEGAL ENTITY ESTABLISHED FOR BUSINESS PURPOSES, INVESTMENT RELATED.
3. UNKAUFNOX, LLC, LEGAL ENTITY, START DATE: 11/6/2024, HOURS PER MONTH: 80+, HOURS DURING SECURITIES TRADING

## Registration and Employment History



### Other Business Activities, continued

HOURS: 80+, ANY ACTIVITIES ASSOCIATED WITH BEING AN NM ADVISOR; NON-INVESTMENT RELATED.

4. MEMBERSHIP DIRECTOR, LSU ALUMNI FEDERATION- GREATER HOUSTON CHAPTER, INC D/B/A LSU HOUSTON ALUMNI ASSOCIATION, 1775 ST. JAMES PLACE, SUITE 100, HOUSTON, , TEXAS, 77056, UNITED STATES OF AMERICA, NON-PROFIT, START DATE: 01/13/2026, HOURS PER MONTH: 0-5, HOURS DURING SECURITIES TRADING HOURS: 0-5, RECRUIT AND ONBOARD NEW MEMBERS TO THE LSU ALUMNI ASSOCIATION HOUSTON CHAPTER. NON-INVESTMENT RELATED.

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## End of Report



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