



## IAPD Report

# SCOTT ALLEN TILLEY

CRD# 1139070

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### SCOTT ALLEN TILLEY (CRD# 1139070)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/04/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	02/17/2021
IA	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	02/17/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	BB&T SECURITIES, LLC	142785	RICHMOND, VA	05/08/2018 - 02/17/2021
IA	BB&T SECURITIES, LLC	142785	RICHMOND, VA	05/08/2018 - 02/17/2021
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	HIGH POINT, NC	05/02/2002 - 06/06/2018

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Termination	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 17 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **TRUIST INVESTMENT SERVICES, INC.**  
Main Address: 303 PEACHTREE STREET  
2ND FLOOR  
ATLANTA, GA 30303  
Firm ID#: 17499

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	02/17/2021
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	02/17/2021
<b>B</b> Colorado	Agent	Approved	12/05/2022
<b>B</b> Connecticut	Agent	Approved	12/07/2022
<b>B</b> District of Columbia	Agent	Approved	02/17/2021
<b>B</b> Florida	Agent	Approved	02/17/2021
<b>B</b> Georgia	Agent	Approved	02/17/2021
<b>B</b> Kentucky	Agent	Approved	12/12/2022
<b>B</b> Maine	Agent	Approved	12/08/2022
<b>B</b> Maryland	Agent	Approved	11/23/2022
<b>B</b> Minnesota	Agent	Approved	02/01/2023
<b>B</b> Missouri	Agent	Approved	12/07/2022
<b>B</b> New York	Agent	Approved	02/17/2021



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> North Carolina	Agent	Approved	02/17/2021
<b>B</b> Ohio	Agent	Approved	05/18/2022
<b>B</b> South Carolina	Agent	Approved	02/17/2021
<b>B</b> Tennessee	Agent	Approved	11/09/2022
<b>B</b> Texas	Agent	Approved	02/17/2021
<b>B</b> Virginia	Agent	Approved	02/17/2021

### Branch Office Locations

**SUNTRUST INVESTMENT SERVICES, INC.**  
 620 N MAIN ST  
 FL 2  
 HIGH POINT, NC 27260

**SUNTRUST INVESTMENT SERVICES, INC.**  
 GREENSBORO, NC

### Employment 2 of 2

Firm Name: **TRUIST ADVISORY SERVICES, INC.**  
 Main Address: 303 PEACHTREE STREET  
 2ND FLOOR  
 ATLANTA, GA 30303  
 Firm ID#: 283390

Regulator	Registration	Status	Date
<b>IA</b> North Carolina	Investment Adviser Representative	Approved	02/17/2021
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	04/15/2021

### Branch Office Locations

**TRUIST ADVISORY SERVICES, INC.**  
 620 N MAIN ST  
 FL 2  
 HIGH POINT, NC 27262



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**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
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	03/05/2001
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	03/05/2001

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	02/01/2005
General Securities Representative Examination (S7)	Series 7	09/17/1988

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	12/06/1991
Uniform Securities Agent State Law Examination (S63)	Series 63	09/21/1988

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

#### Chartered Financial Analyst

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/08/2018 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
IA	05/08/2018 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
IA	05/02/2002 - 06/06/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HIGH POINT, NC
B	08/24/2000 - 06/06/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HIGH POINT, NC
B	05/05/1999 - 09/08/2000	SCOTT & STRINGFELLOW, INC.	CRD# 6255	RICHMOND, VA
B	03/10/1995 - 05/05/1999	SCOTT & STRINGFELLOW, INC.	CRD# 3309	RICHMOND, VA
B	02/24/1992 - 04/26/1995	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	09/20/1988 - 03/23/1992	SCOTT & STRINGFELLOW INVESTMENT CORPORATION	CRD# 3309	RICHMOND, VA

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2021 - Present	TRUIST ADVISORY SERVICES, INC.	ADVISOR	Y	HIGH POINT, NC, United States
02/2021 - Present	TRUIST INVESTMENT SERVICES, INC.	FINANCIAL ADVISOR	Y	HIGH POINT, NC, United States
05/2018 - 02/2021	BB&T SECURITIES	FINANCIAL ADVISOR	Y	HIGH POINT, NC, United States
12/2009 - 05/2018	BANK OF AMERICA, N.A.	ASSOC RES DIR - WEALTH MGMT	Y	HIGH POINT, NC, United States
08/2000 - 05/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	ASSOC RES DIR - WEALTH MGMT	Y	HIGH POINT, NC, United States



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

#### HIGH POINT ECONOMIC DEVELOPMENT CORPORATION

POSITION: Director NATURE: The HPEDC is charged with attraction, recruiting and helping further develop businesses in and to High Point NC. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 06/04/2018  
ADDRESS: 211 S. Hamilton St, High Point NC 27260

#### BUSINESS HIGH POINT CHAMBER OF COMMERCE

POSITION: Director - Immediate Past Chair NATURE: BHPI is the Chamber of Commerce in High Point NC, serving the needs of the business community in High Point in multiple ways. As a Board member I provide input and approve the functions of BHPI. Activities of BHPI include ideas on projects designed to transform High Point such as improvement of our Library Plaza, the creation of an Entrepreneurial Center, and support for the Downtown Baseball Stadium project. The Chamber focuses on Educational issues, Workforce Development, Member Services and Government Relations. Website for organization is [www.bhpchamber.org](http://www.bhpchamber.org). INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 06/04/2018  
ADDRESS: 1634 N Main St, High Point NC 27262

#### HIGH POINT DOWNTOWN STADIUM FOUNDATION AND HIGH POINT BASEBALL INC.

POSITION: Director of Downtown Stadium Foundation and Chairman of the Board of High Point Baseball Inc. NATURE: The Foundation owns and runs the Atlantic League Professional baseball team in High Point. The Foundation is also responsible for the leasing and management of the Downtown Stadium which is currently under construction. The stadium is owned by the City of High Point but under lease by the Foundation. High Point Baseball Inc. runs the operations of the High Point Rockers, an Atlantic League Baseball Team. INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 3 START DATE: 06/04/2018  
ADDRESS: High Point NC, United States  
DESCRIPTION: Monthly Board meeting where input, leadership and votes are provided as to the direction of the team and use of the stadium. Limited day to day responsibility as a full time Team President, Pete Fisch, runs the team.

#### ATLANTIC LEAGUE OF PROFESSIONAL BASEBALL

POSITION: Director NATURE: As an already Truist approved member of the Board High Point Baseball Inc which owns the High Point Rockers, I have been nominated and approved to serve on the Board of the Atlantic League representing the High Point Rockers. INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 09/10/2024  
ADDRESS: Lancaster PA, United States  
DESCRIPTION: Represent the High Point Rockers organization in making decisions for the Atlantic League of Professional Baseball.

#### FREEWAYS TO FAIRWAYS

POSITION: Owner NATURE: Custom transportation service for golf, social or corporate functions utilizing a customized sprinter van. INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 3 START DATE: 12/01/2025  
ADDRESS: Greensboro NC, United States  
DESCRIPTION: Just oversee the business, anticipate very limited time requirement.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Termination	1

### Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

#### Disclosure 1 of 1

**Reporting Source:** Firm

**Firm Name:** Merrill Lynch, Pierce, Fenner & Smith Incorporated

**Termination Type:** Voluntary Resignation

**Termination Date:** 05/08/2018

**Allegations:** Failure to comply with Firm policies concerning electronic communications, making or soliciting political contributions, outside business activity, seminars and advertising requests.

**Product Type:** No Product

**Reporting Source:** Individual

**Firm Name:** MERRILL LYNCH, PIERCE, FENNER & SMITH INC

**Termination Type:** Voluntary Resignation

**Termination Date:** 05/08/2018

**Allegations:** FAILURE TO COMPLY WITH FIRM POLICIES CONCERNING ELECTRONIC COMMUNICATIONS, MAKING OR SOLICITING POLITICAL CONTRIBUTIONS, OUTSIDE BUSINESS ACTIVITY, SEMINARS AND ADVERTISING REQUESTS.

**Product Type:** No Product



## End of Report

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