IAPD Report

TIMOTHY JOHN VOS

CRD# 1425498

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.

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

TIMOTHY JOHN VOS (CRD# 1425498)

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 **08/13/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CAPTRUST	CRD# 175112	02/15/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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
IA	MONROE VOS CONSULTING, INC.	107315	HOUSTON, TX	08/08/1995 - 07/31/2023
B	MV SECURITIES GROUP, INC.	37613	HOUSTON, TX	07/10/1996 - 10/06/2021
B	WILLIAMS, BUCHANAN & COMPANY, INC.	22704	DALLAS, TX	12/22/1994 - 10/10/1996

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
Customer Dispute	2
Termination	1

©2026 FINRA. All rights reserved. Report about TIMOTHY JOHN VOS.

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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CAPTRUST**

Main Address: 4208 SIX FORKS RD
SUITE 1700
RALEIGH, NC 27609

Firm ID#: 175112

	Regulator	Registration	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	05/14/2024
IA	Texas	Investment Adviser Representative	Approved	02/15/2023

Branch Office Locations

CAPTRUST
1001 McKinney St., Suite 1730
Houston, TX 77002

CAPTRUST
99 Monroe Ave NW #901
Grand Rapids, MI 49503

©2026 FINRA. All rights reserved. Report about TIMOTHY JOHN VOS.

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Compliance Officer Examination (S14)	Series 14	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	06/20/1995

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	10/19/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/10/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/05/1985

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked

©2026 FINRA. All rights reserved. Report about TIMOTHY JOHN VOS.

and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

©2026 FINRA. All rights reserved. Report about TIMOTHY JOHN VOS.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	08/08/1995 - 07/31/2023	MONROE VOS CONSULTING, INC.	CRD# 107315	HOUSTON, TX
B	07/10/1996 - 10/06/2021	MV SECURITIES GROUP, INC.	CRD# 37613	HOUSTON, TX
B	12/22/1994 - 10/10/1996	WILLIAMS, BUCHANAN & COMPANY, INC.	CRD# 22704	DALLAS, TX
B	04/01/1992 - 01/10/1995	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	01/01/1991 - 04/10/1992	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	11/18/1985 - 01/01/1991	ROTAN MOSLE INC.	CRD# 727	
B	10/23/1985 - 11/25/1985	THE STUART-JAMES COMPANY, INC.	CRD# 11691	

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
02/2023 - Present	CapFinancial Partners LLC (CAPTRUST)	Investment Adviser Representative	Y	Raleigh, NC, United States
08/2004 - 01/2023	MONROE VOS CONSULTING, INC.	CO-CHAIRMAN, Director of Research	Y	HOUSTON, TX, United States
12/1994 - 01/2023	INSPERITY, INC. (FORMERLY ADMINISTAFF)	EMPLOYEE	N	HOUSTON, TX, United States
04/2005 - 10/2021	MV SECURITIES GROUP, INC.	PRESIDENT/COO/CCO/ CEO/DIRECTOR	Y	HOUSTON, TX, United States

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.

No information reported.

©2026 FINRA. All rights reserved. Report about TIMOTHY JOHN VOS.

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.

©2026 FINRA. All rights reserved. Report about TIMOTHY JOHN VOS.

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
Customer Dispute	2
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	ACCOUNT RELATED-BREACH OF CONTRACT; MISREPRESENTATION; OMISSION OF FACTS; ACCOUNT RELATED - FAILURE TO SUPERVISE
Product Type:	
Alleged Damages:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #96-04324
Date Notice/Process Served:	10/03/1996
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/06/1998
Disposition Detail:	CLOSED - PARTIES SETTLED THRU MEDIATION ** CASE SETTLED THRU MEDIATION **

©2026 FINRA. All rights reserved. Report about TIMOTHY JOHN VOS.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORP.
Allegations:	CLIENT ALLEGES MISREPRESENTATION REGARDING HYPERIOD 2002 TERM TRUST AND THAT 50% OF HIS ACCOUNT VALUE WAS PLACED IN ONE SECURITY.
Product Type:	Other
Other Product Type(s):	HYPERION 2002 TERM TRUST
Alleged Damages:	$200,000.00

Customer Complaint Information

Date Complaint Received:	05/16/1996
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/03/1996
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE NO: 96-04324
Date Notice/Process Served:	10/03/1996
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/06/1998
Monetary Compensation Amount:	$41,000.00
Individual Contribution Amount:	$0.00
Firm Statement	AT THE REQUEST OF THE NASD, THIS U-5 AMENDMENT IS BEING FILED TO REFLECT THE SETTLEMENT OF THE CUSTOMER CLAIM BY PSI. THE REGISTERED REPRESENTATIVE INDIVIDUALLY SETTLED THE CUSTOMER CLAIM AGAINST HIM AND DID NOT CONTRIBUTE TO PSI'S SETTLEMENT.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	MISREPRESENTATION REGARDING THE HYPERION 2002 TERM TRUST AND UNDUE CONCENTRATION OF ONE SECURITY IN THE CUSTOMER`S ACCOUNT.
Product Type:	Other

©2026 FINRA. All rights reserved. Report about TIMOTHY JOHN VOS.

Other Product Type(s): HYPERION 2002 TERM TRUST

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 05/16/1996

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/06/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 96-04324

Date Notice/Process Served: 10/31/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/06/1998

Monetary Compensation Amount: $15,000.00

Individual Contribution Amount:

Broker Statement ON FEBRUARY 6, 1998, [CUSTOMER] WAS PAID $15,000.00, CASE WAS SETTLED BY TIMOTHY J. VOS FOR BUSINESS CONSIDERATIONS.
NOT PROVIDED

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING, MISREPRESENTATION, UNSUITABILITY AND CHURNING IN THE PURCHASE OF SEVERAL MUTUAL FUNDS. CLIENT IS SEEKING $231,939 IN DAMAGES.

Product Type:

Alleged Damages: $231,939.00

Customer Complaint Information

Date Complaint Received: 08/10/1995

Complaint Pending? No

Status: Settled

Status Date:

©2026 FINRA. All rights reserved. Report about TIMOTHY JOHN VOS.

Settlement Amount: $60,000.00

Individual Contribution Amount: $0.00

Firm Statement CUSTOMER WAS PAID $60,000.00. CASE WAS SETTLED BY PSI FOR BUSINESS CONSIDERTIONS. TIMOTHY VOS WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: UNSUITABILITY, CHURNING, FRAUD.

Product Type:

Alleged Damages: $231,939.00

Customer Complaint Information

Date Complaint Received: 08/10/1995

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: $60,000.00

Individual Contribution Amount: $0.00

Broker Statement PRUDENTIAL SECURITIES, INC PAID $60,000 SETTLEMENT TO [CUSTOMER]. TIMOTHY VOS DID NOT CONTRIBUTE TO SETTLEMENT.
NOT PROVIDED

©2026 FINRA. All rights reserved. Report about TIMOTHY JOHN VOS.

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:	Individual
Firm Name:	PRUDENTIAL SECURITIES INCORPORATED
Termination Type:	Discharged
Termination Date:	12/09/1994
Allegations:	Not Provided OUTSIDE BUSINESS AFFILIATIONS INSUBORDINATION.
Product Type:	
Other Product Types:	
Broker Statement	NONE. IN A LETTER DATED MARCH 23, 1995 THE NASD STATED THAT NO ACTION WAS WARRANTED REGARDING THE ALLEGATIONS PRUDENTIAL MADE IN MY U5. THERE WERE NO OUTSIDE BUSINESS AFFILIATIONS, AND NO INSUBORDINATION OF ANY KIND. I BELIEVE PRUDENTIAL MADE THESE ALLEGATIONS IN AN EFFORT TO MISCHARACTERIZE MY TERMINATION AS "FOR CAUSE". PRUDENTIAL'S STATEMENTS IN MY U-5 ARE THE SUBJECT OF A PENDING ARBITRATION ASSERTING DEFAMATION AND A REQUEST THAT THE U-5 BE CORRECTED TO PROVIDE ACCURATE INFORMATION.

©2026 FINRA. All rights reserved. Report about TIMOTHY JOHN VOS.

End of Report

This page is intentionally left blank.

©2026 FINRA. All rights reserved. Report about TIMOTHY JOHN VOS.