IAPD Report

NICOLE BRIELLE SIMPSON

CRD# 2153564

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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

NICOLE BRIELLE SIMPSON (CRD# 2153564)

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 **05/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VANDERBILT SECURITIES, LLC	CRD# 5953	08/18/2023
IA	VANDERBILT ADVISORY SERVICES	CRD# 116537	08/18/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	NEXT FINANCIAL GROUP, INC.	46214	PISCATAWAY, NJ	12/06/2007 - 08/20/2023
B	NEXT FINANCIAL GROUP, INC.	46214	PISCATAWAY, NJ	11/06/2007 - 08/20/2023
B	PNC INVESTMENTS	129052	BRIDGEWATER, NJ	08/24/2005 - 11/13/2007

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	1
Judgment/Lien	2

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 **15** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **VANDERBILT SECURITIES, LLC**

Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Firm ID#: 5953

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/18/2023
B	Delaware	Agent	Approved	08/18/2023
B	District of Columbia	Agent	Approved	08/18/2023
B	Florida	Agent	Approved	08/18/2023
B	Georgia	Agent	Approved	08/18/2023
B	Illinois	Agent	Approved	07/30/2024
B	Indiana	Agent	Approved	08/21/2023
B	Maryland	Agent	Approved	09/07/2023
B	Nevada	Agent	Approved	04/02/2025
B	New Jersey	Agent	Approved	08/18/2023
B	New York	Agent	Approved	08/18/2023
B	North Carolina	Agent	Approved	08/21/2023
B	Pennsylvania	Agent	Approved	08/18/2023

Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	08/18/2023
B	Vermont	Agent	Approved	10/22/2024
B	Virginia	Agent	Approved	05/30/2025

Branch Office Locations

371 Hoes Lane Suite 200
Piscataway, NJ 08854

Employment 2 of 2

Firm Name: **VANDERBILT ADVISORY SERVICES**

Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Firm ID#: 116537

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	08/18/2023

Branch Office Locations

VANDERBILT ADVISORY SERVICES
371 Hoes Lane Suite 200,
Piscataway, NJ 08854

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	07/25/1995
B	General Securities Representative Examination (S7)	Series 7	11/12/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/21/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/11/1992

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	12/06/2007 - 08/20/2023	NEXT FINANCIAL GROUP, INC.	CRD# 46214	PISCATAWAY, NJ
B	11/06/2007 - 08/20/2023	NEXT FINANCIAL GROUP, INC.	CRD# 46214	PISCATAWAY, NJ
B	08/24/2005 - 11/13/2007	PNC INVESTMENTS	CRD# 129052	BRIDGEWATER, NJ
IA	08/24/2005 - 11/13/2007	PNC INVESTMENTS	CRD# 129052	BRIDGEWATER, NJ
IA	02/24/2003 - 08/26/2005	METLIFE SECURITIES INC.	CRD# 14251	CHERRY HILL, NJ
B	02/06/2003 - 08/26/2005	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	02/06/2003 - 08/26/2005	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
IA	05/23/2002 - 01/07/2003	MORGAN STANLEY	CRD# 7556	STATEN ISLAND, NY
B	08/09/2000 - 01/07/2003	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	04/08/1997 - 08/09/2000	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	06/11/1996 - 03/06/1997	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	11/16/1992 - 03/11/1996	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY

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
08/2023 - Present	Vanderbilt Financial Group	REGISTERED REPRESENTITAVE	Y	Woodbury, NY, United States
11/2007 - 08/2023	NEXT FINANCIAL GROUP INC.	REGISTERED REPRESENTITAVE	Y	PLAINFIELD, NJ, 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.

1) HARVEST WEALTH LLC, Not investment related. Start date: 11/01/2007. Address: 371 Hoes Lane Suite 200, Piscataway NJ, 08854. Title: President. Duties: I sell insurance. I also speak about the importance of comprehensive planning and why protection is a critical component. Time spent during regular hours: 5%.

2) NICOLE B. SIMPSON, LLC. Not investment related. Start date: 01/28/2012. Address: 371 Hoes Lane Suite 200, Piscataway NJ, 08854. Title: President. Duties: I travel the country giving motivational speeches, oftentimes the subject matter is associated with the books that I write. 50% of my speeches are based on being a 9/11 survivor and the call to serve. However, I also cover sexual trauma, prison reform, the benefits of being an entrepreneur and team building topics. Time spent during regular hours: 5%.

3) MICAH 7 MINISTRIES. Not investment related. Start date: 10/18/2015. Address: 15 Corporate Place Suite 496 Piscataway NJ 08854. Title: Pastor. Duties: I am a pastor who preaches, teaches and counsels the members in the congregation. I also preach throughout the country and give workshops on various topics based on the visiting church needs or asks. Time spent: 5%.

4) GENERATION X COMMUNITY ASSOCIATION. Not investment related. Start date: 01/01/2022. Address: 371 Hoes Lane Suite 200, Piscataway NJ. 08854. Title: Board Chair, President, Project Coordinator for the You are a Business Internship. Duties: I am the President and visionary of the organization. We provide services for marginalized and under represented communities. We give away scholarships, hold an annual fundraiser for our toy giveaway during the holiday season, and we provide care essential packages for the homeless. We give away scholarships to students who serve in high school and college. I also created the Dare 2 Dream Institute within the organization. We teach financial literacy and entrepreneurial classes. www.generationxcommunity.com is the primary website and www.dare2dreaminstitute.com is the site for the classes we offer. Almost everything is free or based on grants we have received from the department of corrections in the state of New Jersey (I receive a salary for one specific program-the You are a Business). Time spent during regular hours: 20%.

5) HARVEST WEALTH FINANCIAL. Investment related. Start date: 08/22/2023. Address: 371 Hoes Lane Suite 200, Piscataway NJ, 08854. Title: CEO and President. Duties: I operate as a full service financial planning firm. Harvest Wealth Financial is my DBA name. Time spent: 100%.

6) Dedra L Reid Decedents Single Trust. Investment related. Start date: 01/09/2021. Address: 1438 Shirley St, Plainfield NJ, 07062. Title: Trustee. Duties: Provide support for a special needs adult child as needed. Time spend during regular hours: 0%.

7) CFP BOARD OF STANDARDS DIVERSITY ADVISORY GROUP. Not investment related. Start date: 01/02/2023. Address: 371 Hoes Lane, Suite 200, Piscataway NJ 08854. Title: Board Member. Duties: I sit on the board and we address diversity issues in the financial planning industry. How can we increase the numbers of minorities in the industry, how can we retain existing financial planners and how can we increase visibility in the average community. Time spent during regular hours: 5%.

8) Board membership of an organization, Investopedia. Investment related. Start date: 08/15/2024. Address: 371 Hoes Lane, Piscataway NJ, 08854. Title: Advisor Council Board. Duties: I will be a subject matter expert used as a source for their writers and I am writing articles for their site as well. Time spent: 0%.

9) Harvest Wealth LLC. Not investment related. Start date: 03/07/2025. Address: 1010 Park Avenue Plainfield NJ 07060. Title: Media Personality. Duties: Standing on Business podcast that will run on Multiple outlets associated with Metromusic/Arts. The content is mine but they will have full use of it within their outlets. Time spent: 0%.

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
Customer Dispute	1
Judgment/Lien	2

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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LEGG MASON WOOD WALKER, INC.

Allegations: CLAIMANTS ALLEGE THAT RESPONDENTS FAILED TO ACT IN A TIMELY MANNER TO TRANSFER ACCOUNTS TO FIDELITY VIA ACAT, AND THAT RESPONDENTS ACCOMPLISHED AN UNINTENDED TRANSFER OF ASSETS BETWEEN LEGG MASON ACCOUNTS. THE TRANSFER BETWEEN ACCOUNTS WAS IMMEDIATELY REVERSED. CLAIMANTS ALSO ALLEGE THAT RESPONDENTS FAILED TO DELIVER A RECEIPT FOR SECURITIES IN THE ESTATE ACCOUNT, BUT DO NOT ATTRIBUTE ANY LOSS TO THAT FAILURE.

Product Type: Equity - OTC

Alleged Damages: $40,000.00

Customer Complaint Information

Date Complaint Received: 05/12/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/12/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NEW YORK STOCK EXCHANGE 2000-008466

Date Notice/Process Served: 05/12/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/21/2001

Monetary Compensation Amount: $3,000.00

Individual Contribution Amount: $0.00

Firm Statement IN ORDER TO AVOID TIME AND EXPENSE OF ARBITRATION, THE CASE WAS SETTLED FOR $3,000 BY LEGG MASON.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LEGG MASON WOOD WALKER, INC.

Allegations: CLAIMANTS ALLEGE THAT RESPONDENTS FAILED TO ACT IN A TIMELY MANNER TO TRANSFER ACCOUNTS TO FIDELITY VIA ACAT, AND THAT RESPONDENTS ACCOMPLISHED AN UNINTENDED TRANSFER OF ASSETS BETWEEN LEGG MASON ACCOUNTS. THE TRANSFER BETWEEN ACCOUNTS WAS IMMEDIATELY REVERSED. CLAIMANTS ALSO ALLEGE THAT RESPONDENTS FAILED TO DELIVER A RECEIPT FOR SECURITIES IN THE ESTATE ACCOUNT, BUT DO NOT ATTRIBUTE ANY LOSS TO THAT FAILURE.

Product Type: Equity - OTC

Alleged Damages: $40,000.00

Customer Complaint Information

Date Complaint Received: 05/12/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/12/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NEW YORK STOCK EXCHANGE 2000-008466

Date Notice/Process Served: 05/12/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date:	08/21/2001
Monetary Compensation Amount:	$3,000.00
Individual Contribution Amount:	$0.00

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	MIDLAND FUNDING
Judgment/Lien Amount:	$12,105.00
Judgment/Lien Type:	Default
Date Filed:	03/01/2006
Court Details:	UNION COUNTY DISTRICT COURT ELIZABETH NJ 07200 ID#1016
Judgment/Lien Outstanding?	Yes
Broker Statement	I RECENTLY MADE INQUIRIES TO BEGIN MAKING PAYMENT TO SAID COMPANY. HOWEVER THEIR SETTLEMENT WAS TOO HIGH SO I CHOSE TO PAY OFF ADDITIONAL DEBTS BEFORE RENEGOTIATING WITH THE COMPANY.

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	JACKSON CAPITAL INC
Judgment/Lien Amount:	$8,493.00
Judgment/Lien Type:	Default
Date Filed:	09/01/2006
Court Details:	UNION COUNTY DISTRICT COURT ELIZABETH NJ 0720 ID#10344
Judgment/Lien Outstanding?	Yes
Broker Statement	THIS ISSUE SHOULD HAVE BEEN RESOLVED AND IS A MISCOMMUNICATION BETWEEN NICOLE MANLEY (SIMPSON) AND JACKSON CAPITAL. I AM SEEKING TO RESOLVE THIS ISSUE AS I HAVE BEEN WORKING DILIGENTLY ON CLEANING UP MY CREDIT REPORT

End of Report

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