



IAPD Report

TIMOTHY BALLARD WHITE

CRD# 2155480

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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.



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 BALLARD WHITE (CRD# 2155480)

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 **04/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VANDERBILT ADVISORY SERVICES	CRD# 116537	02/17/2026

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	IP FINANCIAL ADVISORY SERVICES LLC	305772	Mount Pleasant, SC	02/05/2020 - 02/09/2026
B	INNOVATION PARTNERS LLC	146344	CHARLOTTE, NC	08/01/2016 - 01/06/2025
IA	INNOVATION PARTNERS LLC	146344	Mount Pleasant, SC	07/28/2016 - 09/14/2020

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
Regulatory Event	1
Criminal	4
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **VANDERBILT ADVISORY SERVICES**
Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797
Firm ID#: 116537

Regulator	Registration	Status	Date
IA South Carolina	Investment Adviser Representative	Approved	02/17/2026

Branch Office Locations

VANDERBILT ADVISORY SERVICES
Mount Pleasant, SC



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/23/1992

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	11/04/2015
Uniform Securities Agent State Law Examination (S63)	Series 63	09/09/1991

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	02/05/2020 - 02/09/2026	IP FINANCIAL ADVISORY SERVICES LLC	CRD# 305772	Mount Pleasant, SC
B	08/01/2016 - 01/06/2025	INNOVATION PARTNERS LLC	CRD# 146344	CHARLOTTE, NC
IA	07/28/2016 - 09/14/2020	INNOVATION PARTNERS LLC	CRD# 146344	Mount Pleasant, SC
IA	01/06/2016 - 06/30/2016	LIBERTY PARTNERS CAPITAL MANAGEMENT, LLC	CRD# 131117	MT. PLEASANT, SC
B	11/29/2012 - 06/30/2016	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	CRD# 130390	RALEIGH, NC
B	11/01/2001 - 12/03/2012	TRIAD ADVISORS, INC.	CRD# 25803	MT. PLEASANT, SC
B	07/16/2001 - 11/01/2001	IFG NETWORK SECURITIES, INC.	CRD# 19948	ATLANTA, GA
B	05/03/1999 - 07/26/2001	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	03/16/1999 - 05/03/1999	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	05/07/1992 - 12/23/1998	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	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
02/2026 - Present	Vanderbilt Advisory Services	Investment Advisor Representative	Y	Woodbury, NY, United States
01/2020 - 02/2026	IP Financial Advisory Services	Investment Advisor Representative	Y	Charlotte, NC, United States
07/2016 - 12/2024	Innovation Partners LLC	Registered Representative and Investment Advisor Representative	Y	Charlotte, NC, United States
01/2016 - 06/2016	Liberty Partners Capital Management, LLC.	Registered Rep	Y	Cheyenne, WY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2012 - 06/2016	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	REGISTERED REP	Y	BAKERSFIELD, CA, 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.

Fixed Insurance Sales. Start date: 01-01/2005. Address: 1243 Dingle Road Mount Pleasant, SC 29466. Title: Salesman. Duties: Selling Index Annuities. Time spent during regular hours: 50%.



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
Regulatory Event	1
Criminal	4
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Firm
Regulatory Action Initiated By:	south carolina department of insurance
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/04/1998
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	GUARDIAN INVESTOR SERVICES CORPORATION
Product Type:	
Other Product Type(s):	
Allegations:	mr. white failed to disclose convictions of illegal possession of legal liquor in 1995 and criminal domestic violence and trespassing in 1996 on his insurance application.
Current Status:	Final
Resolution:	Order
Resolution Date:	11/04/1998
Sanctions Ordered:	Monetary/Fine \$300.00



Other Sanctions Ordered:

Sanction Details: mr. white was terminated from guardian investor services

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Reporting Source: Individual

Regulatory Action Initiated By: S.C. INS. COMMISSION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/04/1998

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: GUARDIAN INVESTOR SERVICES CORPORATION

Product Type:

Other Product Type(s):

Allegations: OMITTED A MISDEMEANOR ON APPLICATION FOR RELICENSING IN THE INSURANCE FIELD

Current Status: Final

Resolution: Order

Resolution Date: 11/04/1998

Sanctions Ordered: Monetary/Fine \$300.00

Other Sanctions Ordered:

Sanction Details: CONSENT ORDER AND \$300 FINE

Broker Statement I FORGOT TO INCLUDE 3 MISDEMEANORS I WAS CHARGED WITH IN 1995 & 1996 ON A APPLICATION FOR AN INSURANCE LICENSE IN S.C.



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 4

Reporting Source: Individual

If charge(s) were brought against an organization over which individual exercised control:

Organization Name:

Investment Related Business: No

Position:

Formal Charges were brought in: CITY OF MT. PLEASANT, SOUTH CAROLINA

Name of Court: MT PLEASANT MUNICIPAL COURT

Location of Court: MT PLEASANT, SOUTH CAROLINA

Docket/Case #: 53107CF

Charge Date: 04/30/2003

Charge(s) 1 of 1

Formal Charge(s)/Description: FAILURE TO PAY FOR GASOLINE

No of Counts: 1

Felony or Misdemeanor: Misdemeanor

Plea for each charge: GUILTY

Disposition of charge: Pled guilty

Current Status: Final

Status Date: 05/01/2003

Disposition Date: 11/18/2005

Sentence/Penalty: MONETARY FINE OF \$1,072.50 - 11/18/2005

Disclosure 2 of 4

Reporting Source: Individual

Court Details: NC STATE COURT COUNTY OF CUMBERLAND

Charge Date: 11/25/1985

Charge Details: MISDEMEANOR LARCENY DISMISSED 1 COUNT

Felony? No

Current Status: Final

Status Date: 12/09/1985



Disposition Details: DISMISSED

Broker Statement A FORMER GIRLFRIEND BELIEVED THAT DURING A MOVE FROM ONE RESIDENCE TO A NEW RESIDENCE THAT I STOLE HER CASSETT TAPES. IN ANGER SHE HAD ME CHARGED. SHE LATER FOUND HER CASSETTE TAPES AND THE CHARGE WAS DROPPED.

Disclosure 3 of 4

Reporting Source: Individual

Court Details: STATE OF S.C. COUNTY OF CHARLESTON
Not Provided

Charge Date: 02/09/1995

Charge Details: MISD CRIMINAL DOMESTIC VIOLENCE, MISDEMEANOR TRESPASS, MISDEMEANOR OPEN CONTAINER, FELONY BURGULARY (DISMISSED)

Felony?

Current Status: Final

Status Date: 07/09/1996

Disposition Details: FELONY BURGULARY DISMISSED MISDEMEANOR CDV FINE \$400 OPEN CONTAINER FINE \$100 TRESPASS FINE \$250.

Broker Statement SEE LETTER AND RECORDS ALREADY SENT



Disclosure 4 of 4

Reporting Source:	Individual
Court Details:	NASD **NEW HANOVER COUNTY COURT** 34244
Charge Date:	02/01/1981
Charge Details:	LARCENY BY EMPLOYEE
Felony?	
Current Status:	Final
Status Date:	06/17/1981
Disposition Details:	DISMISSED
Broker Statement	I WAS A PARTS MANAGER AT A JCPENNY AUTO CENTER. THE MECHANICS WERE STEALING PARTS & TIRES AND SINCE I WAS THE PARTS MANAGER THEY CHARGED AS A CO-CONSPIRATOR WHICH WAS NOT TRUE. THEY DROPPED THE CHARGES.



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:	GUARDIAN INVESTOR SERVICES CORPORATION
Termination Type:	Permitted to Resign
Termination Date:	12/12/1998
Allegations:	Not Provided OMITTED A MISDEMEANOR ON APPLICATION FOR RELICENSING IN THE INSURANCE FIELD
Product Type:	
Other Product Types:	
Broker Statement	CONSENT ORDER AND \$300 FINE I FORGOT TO INCLUDE 3 MISDEMEANORS I WAS CHARGED WITH IN 1995 & 1996 ON A APPLICATION FOR AN INSURANCE LICENSE IN S.C.



End of Report

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