



IAPD Report

Brian Thomas White

CRD# 2759891

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	5 - 8
Disclosure Information	9



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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

Brian Thomas White (CRD# 2759891)

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 **09/25/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TD PRIVATE CLIENT WEALTH LLC	CRD# 164484	04/21/2026
IA	TD PRIVATE CLIENT WEALTH LLC	CRD# 164484	04/22/2026

QUALIFICATIONS

This representative is currently registered in **1** 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	GWN SECURITIES INC.	128929	PALM BEACH GARDENS, FL	03/17/2026 - 03/23/2026
B	GWN SECURITIES INC.	128929	PALM BEACH GARDENS, FL	02/26/2026 - 03/23/2026
B	J.W. COLE FINANCIAL, INC.	124583	TAMPA, FL	02/05/2026 - 02/20/2026

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
Financial	4



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 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **TD PRIVATE CLIENT WEALTH LLC**
Main Address: 1 VANDERBILT AVENUE
23RD FLOOR
NEW YORK, NY 10017
Firm ID#: 164484

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/21/2026
B	FINRA	General Securities Representative	Approved	04/21/2026
B	FINRA	Municipal Securities Principal	Approved	04/21/2026
B	FINRA	Municipal Securities Representative	Approved	04/21/2026
B	FINRA	Registered Options Principal	Approved	04/21/2026
B	South Carolina	Agent	Approved	04/21/2026
IA	South Carolina	Investment Adviser Representative	Approved	04/22/2026

Branch Office Locations

TD PRIVATE CLIENT WEALTH LLC
200 Carolina Point Parkway
4th floor
Greenville, SC 29607



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

Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	01/19/2000
	Registered Options Principal Examination (S4)	Series 4	11/12/1999
	General Securities Principal Examination (S24)	Series 24	06/04/1999

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	03/03/1997
	Municipal Securities Representative Examination (S52)	Series 52	08/12/1996

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	12/16/2002
	 Uniform Securities Agent State Law Examination (S63)	Series 63	08/19/1996

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



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	03/17/2026 - 03/23/2026	GWN SECURITIES INC.	CRD# 128929	PALM BEACH GARDEN:
B	02/26/2026 - 03/23/2026	GWN SECURITIES INC.	CRD# 128929	PALM BEACH GARDEN:
B	02/05/2026 - 02/20/2026	J.W. COLE FINANCIAL, INC.	CRD# 124583	TAMPA, FL
IA	05/08/2023 - 01/10/2025	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	SCOTTSDALE, AZ
B	03/30/2023 - 01/10/2025	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	SCOTTSDALE, AZ
B	09/11/2018 - 12/17/2022	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
IA	09/11/2018 - 12/17/2022	CETERA ADVISOR NETWORKS LLC	CRD# 13572	ATLANTA, GA
B	09/11/2018 - 12/17/2022	CETERA ADVISORS LLC	CRD# 10299	GREENWOOD VILLAGE
B	09/11/2018 - 12/17/2022	CETERA FINANCIAL SPECIALISTS LLC	CRD# 10358	SCHAUMBURG, IL
B	09/11/2018 - 12/17/2022	CETERA INVESTMENT SERVICES LLC	CRD# 15340	ST. CLOUD, MN
B	09/11/2018 - 09/08/2022	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA
B	09/11/2018 - 12/03/2019	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	BOCA RATON, FL
B	01/28/2016 - 09/05/2018	CETERA FINANCIAL SPECIALISTS LLC	CRD# 10358	SCHAUMBURG, IL
B	01/28/2016 - 09/05/2018	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA
B	01/28/2016 - 09/05/2018	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	BOCA RATON, FL



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	09/13/2010 - 09/05/2018	CETERA ADVISOR NETWORKS LLC	CRD# 13572	ATLANTA, GA
B	04/30/2010 - 09/05/2018	CETERA INVESTMENT SERVICES LLC	CRD# 15340	ATLANTA, GA
B	05/09/2005 - 09/05/2018	CETERA ADVISORS LLC	CRD# 10299	ATLANTA, GA
B	04/28/2005 - 09/05/2018	CETERA ADVISOR NETWORKS LLC	CRD# 13572	ATLANTA, GA
B	01/28/2016 - 11/01/2017	GIRARD SECURITIES, INC.	CRD# 18697	SAN DIEGO, CA
B	01/28/2016 - 12/14/2016	LEGEND EQUITIES CORPORATION	CRD# 30999	PALM BEACH GARDEN, FL
B	01/28/2016 - 11/09/2016	INVESTORS CAPITAL CORP.	CRD# 30613	LYNNFIELD, MA
B	01/28/2016 - 11/09/2016	VSR FINANCIAL SERVICES, INC.	CRD# 14503	OVERLAND PARK, KS
IA	01/02/2004 - 02/01/2010	ING FINANCIAL PARTNERS, INC	CRD# 2882	ATLANTA, GA
B	11/06/2003 - 02/01/2010	ING FINANCIAL PARTNERS, INC.	CRD# 2882	ATLANTA, GA
IA	07/21/2003 - 12/31/2003	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	03/11/1999 - 12/31/2003	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	04/03/1998 - 02/01/1999	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA
B	03/04/1997 - 01/26/1998	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	03/04/1997 - 01/26/1998	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	08/13/1996 - 10/14/1996	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI



Registration & Employment History



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
04/2026 - Present	TD Bank N.A.	Central Supervision Analyst	Y	Greenville, SC, United States
04/2026 - Present	TD Private Client Wealth LLC	Registered Principal	Y	Greenville, SC, United States
02/2026 - 03/2026	GWN SECURITIES INC	COMPLIANCE ASSOCIATE	Y	PALM BEACH GARDENS, FL, United States
02/2026 - 02/2026	J.W. Cole Advisors, Inc.	Registered Home Office Employee/Compliance	Y	Tampa, FL, United States
02/2026 - 02/2026	J.W. Cole Financial, Inc.	Registered Home Office Employee/Compliance	Y	Tampa, FL, United States
12/2024 - 02/2026	Unemployed	Unemployed	N	Panama City, FL, United States
03/2023 - 12/2024	United Planners	Registered Representative	Y	Scottsdale, AZ, United States
01/2016 - 12/2022	CETERA FINANCIAL SPECIALISTS LLC	Compliance SR Auditor	Y	Schaumburg, IL, United States
01/2016 - 12/2022	GIRARD SECURITIES, INC.	Compliance SR Auditor	Y	San Diego, CA, United States
01/2013 - 12/2022	CETERA ADVISOR NETWORKS LLC	COMPLIANCE SR AUDITOR	Y	EL SEGUNDO, CA, United States
01/2013 - 12/2022	CETERA ADVISORS LLC	COMPLIANCE SR AUDITOR	Y	DENVER, CA, United States
01/2013 - 12/2022	CETERA INVESTMENT SERVICES LLC	COMPLIANCE SR AUDITOR	Y	SAINT CLOUD, MN, United States
01/2016 - 09/2022	FIRST ALLIED SECURITIES, INC.	Compliance SR Auditor	Y	San Diego, CA, United States
01/2016 - 12/2019	SUMMIT BROKERAGE SERVICES, INC.	Compliance SR Auditor	Y	Boca Raton, FL, United States
01/2016 - 12/2016	LEGEND EQUITIES CORPORATION	Compliance SR Auditor	Y	Palm Beach Gardens, FL, United States
01/2016 - 11/2016	INVESTORS CAPITAL CORP.	Compliance SR Auditor	Y	Lynnfield, MA, United States
01/2016 - 11/2016	VSR FINANCIAL SERVICES, INC.	Compliance SR Auditor	Y	Overland Park, KS, 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.

No information reported.



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
Financial	4

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 4

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	04/27/2026
Organization Investment-Related?	
Action Pending?	No
Disposition:	Direct Payment Procedure
Disposition Date:	04/27/2026
If a compromise with creditor, provide:	
Name of Creditor:	American Express
Original Amount Owed:	\$16,406.31
Terms Reached with Creditor:	1030 X 12 payments
Amount Paid:	\$12,360.00
SIPA (Securities Investor Protection Act) Trustee:	
Currently Open?	Yes
Date Direct Payment Initiated/Filed or Trustee Appointed:	04/27/2026

**Disclosure 2 of 4**

Reporting Source: Individual

Action Type: Compromise

Action Date: 04/27/2026

Organization Investment-Related?

Action Pending? No

Disposition: Direct Payment Procedure

Disposition Date: 04/27/2026

If a compromise with creditor, provide:

Name of Creditor: American Express

Original Amount Owed: \$5,529.71

Terms Reached with Creditor: \$350 X 12 payments

Amount Paid: \$4,200.00

SIPA (Securities Investor Protection Act) Trustee:

Currently Open? Yes

Date Direct Payment Initiated/Filed or Trustee Appointed: 04/27/2026

Disclosure 3 of 4

Reporting Source: Individual

Action Type: Compromise

Action Date: 04/24/2026

Organization Investment-Related?

Action Pending? No

Disposition: Direct Payment Procedure

Disposition Date: 04/24/2026

If a compromise with creditor, provide:

Name of Creditor: Wells Fargo

Original Amount Owed: \$18,518.00

Terms Reached with Creditor: \$1,851 for 6 payments

Amount Paid: \$11,110.88

**SIPA (Securities Investor Protection Act)Trustee:****Currently Open?** No**Date Direct Payment Initiated/Filed or Trustee Appointed:** 04/24/2026**Broker Statement** The first payment was made on April 24th and the sixth and final payment of \$1,851.81 was made on July 10, 2026**Disclosure 4 of 4****Reporting Source:** Individual**Action Type:** Compromise**Action Date:** 06/25/2026**Organization Investment-Related?****Action Pending?** No**Disposition:** Direct Payment Procedure**Disposition Date:** 06/25/2026**If a compromise with creditor, provide:****Name of Creditor:** Wells Fargo**Original Amount Owed:** \$15,696.00**Terms Reached with Creditor:** \$436 X 36 payments**Amount Paid:** \$15,696.00**SIPA (Securities Investor Protection Act)Trustee:****Currently Open?** Yes**Date Direct Payment Initiated/Filed or Trustee Appointed:** 06/25/2026



End of Report

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