IAPD Report

SCOTT NATHAN BRODY

CRD# 2890610

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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

SCOTT NATHAN BRODY (CRD# 2890610)

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 **02/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VESTED FINANCE	CRD# 299272	03/03/2022
B	VF SECURITIES	CRD# 315194	07/07/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	CNR SECURITIES, LLC	18466	NEW YORK, NY	01/02/2014 - 02/02/2022
B	SYMPHONIC SECURITIES LLC	139512	NEW YORK, NY	01/02/2014 - 02/02/2022
B	CITY NATIONAL SECURITIES, INC.	103705	LOS ANGELES, CA	08/08/2012 - 02/02/2022

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
Criminal	1

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

Employment 1 of 2

Firm Name: **VF SECURITIES**

Main Address: 222 N. SEPULVEDA BLVD.
SUITE 10-124
EL SEGUNDO, CA 90245

Firm ID#: 315194

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	07/07/2022
B	FINRA	General Securities Representative	Approved	07/07/2022
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	07/07/2022
B	FINRA	Municipal Securities Principal	Approved	07/07/2022
B	FINRA	Municipal Securities Representative	Approved	07/07/2022
B	FINRA	Private Securities Offerings Principal	Approved	07/07/2022
B	FINRA	Registered Options Principal	Approved	07/07/2022
B	FINRA	Compliance Officer	Approved	11/29/2023
B	FINRA	Operations Professional	Approved	02/04/2025
B	California	Agent	Approved	07/07/2022
B	Florida	Agent	Approved	02/14/2023
B	Georgia	Agent	Approved	12/05/2022
B	New Jersey	Agent	Approved	01/17/2025

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Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	05/01/2023
B	Washington	Agent	Approved	05/10/2023

Branch Office Locations

222 N. Sepulveda
Suite 10-124
El Segundo, CA 90245

Redondo Beach, CA

222 N. Sepulveda Blvd., Suite 10-124
EL SEGUNDO, CA 90245

Employment 2 of 2

Firm Name: **VESTED FINANCE**

Main Address: 110 SWIFT AVENUE
DURHAM, NC 27705

Firm ID#: 299272

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	03/03/2022
IA	New Jersey	Investment Adviser Representative	Approved	02/03/2025

Branch Office Locations

VESTED FINANCE
222 Sepulveda Blvd.
10-124
El Segundo, CA 90245

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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 4 principal/supervisory exams, 5 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	Municipal Securities Principal Examination (S53)	Series 53	05/25/2004
B	Registered Options Principal Examination (S4)	Series 4	09/10/1999
B	General Securities Principal Examination (S24)	Series 24	06/09/1999

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	02/04/2025
B	Limited Representative-Private Securities Offerings (S82TO)	Series 82TO	01/02/2023
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	10/07/1997

State Securities Law Exams

		Exam	Category	Date
IA	B	Uniform Combined State Law Examination (S66)	Series 66	04/09/2003
	B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/05/1997

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PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	01/02/2014 - 02/02/2022	CNR SECURITIES, LLC	CRD# 18466	NEW YORK, NY
B	01/02/2014 - 02/02/2022	SYMPHONIC SECURITIES LLC	CRD# 139512	NEW YORK, NY
B	08/08/2012 - 02/02/2022	CITY NATIONAL SECURITIES, INC.	CRD# 103705	LOS ANGELES, CA
IA	08/08/2012 - 02/02/2022	CITY NATIONAL SECURITIES, INC.	CRD# 103705	LOS ANGELES, CA
IA	12/22/2009 - 08/06/2012	METROPOLITAN WEST ASSET MANAGEMENT LLC	CRD# 104571	LOS ANGELES, CA
B	12/09/2010 - 08/03/2012	TCW FUNDS DISTRIBUTORS	CRD# 16670	LOS ANGELES, CA
B	12/22/2009 - 12/08/2010	MWAM DISTRIBUTORS, LLC	CRD# 132031	LOS ANGELES, CA
IA	03/27/2006 - 12/15/2009	ASSOCIATED PLANNERS INVESTMENT ADVISORY INC	CRD# 104790	EL SEGUNDO, CA
IA	06/16/2009 - 11/13/2009	ASSOCIATED SECURITIES CORP.	CRD# 12969	EL SEGUNDO, CA
B	01/10/2006 - 11/13/2009	ASSOCIATED SECURITIES CORP.	CRD# 12969	EL SEGUNDO, CA
B	01/21/2005 - 01/11/2006	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
IA	01/20/2005 - 02/08/2005	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
IA	04/10/2003 - 01/13/2005	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	SAN DIEGO, CA
B	08/15/2002 - 01/13/2005	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	SAN DIEGO, CA
B	10/08/1997 - 05/29/2001	E*TRADE SECURITIES, INCORPORATED	CRD# 29106	JERSEY CITY, NJ

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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
01/2022 - Present	VF Securities	Chief Compliance Officer	Y	San Francisco, CA, United States
08/2012 - 01/2022	CITY NATIONAL BANK	CHIEF COMPLIANCE OFFICER	Y	BEVERLY HILLS, 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.

No information reported.

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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.

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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
Criminal	1

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 1

Reporting Source:	Individual
Formal Charges were brought in:	Action was brought in Municipal Court
Name of Court:	Muncipal Court
Location of Court:	Austin, TX
Docket/Case #:	C-1-CR-93-401902
Charge Date:	02/04/1993
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Misdemeanor - Theft by check
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	No plea
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	11/19/1993
Disposition Date:	11/19/1993
Sentence/Penalty:	Charges dismissed
Broker Statement	ON 02/04/1993, PASSED A CHECK IN THE AMOUNT OF $54.34 AT APPLETREE MARKET GROCERY STORE. CHECK RETURNED FOR INSUFFICIENT FUNDS, WARRANT ISSUED, MR. BRODY PAID AMOUNT OF CHECK, COMPLETED NCTI COURSE, CASE DISMISSED ON 11/19/1993.

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End of Report

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