



## IAPD Report

# Timothy Allen Whitmore

CRD# 2962726

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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

### Timothy Allen Whitmore (CRD# 2962726)

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 **01/06/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	ELEVATED WEALTH STRATEGIES LLC	CRD# 336633	09/22/2025
<b>B</b>	THE LEADERS GROUP, INC.	CRD# 37157	10/07/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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>B</b>	VANDERBILT SECURITIES, LLC	5953	WestLake Village, CA	02/01/2023 - 10/07/2025
<b>B</b>	THE LEADERS GROUP, INC.	37157	SUMMIT, NJ	07/21/2021 - 12/31/2022
<b>B</b>	STILLPOINT CAPITAL, LLC	133146	TAMPA, FL	11/03/2015 - 12/09/2016

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

#### Employment 1 of 2

Firm Name: **THE LEADERS GROUP, INC.**  
Main Address: 475 SPRINGFIELD AVE  
SUMMIT, NJ 07901  
Firm ID#: 37157

Regulator	Registration	Status	Date
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	10/07/2025
<b>B</b> Arizona	Agent	Approved	10/07/2025
<b>B</b> California	Agent	Approved	10/07/2025
<b>B</b> Texas	Agent	Approved	10/07/2025

#### Branch Office Locations

2659 Townsgate Road, Suite 105  
Westlake Village, CA 91361

#### Employment 2 of 2

Firm Name: **ELEVATED WEALTH STRATEGIES LLC**  
Main Address: 2659 TOWNSGATE RD.  
#105  
WESTLAKE VILLAGE, CA 91361  
Firm ID#: 336633

Regulator	Registration	Status	Date
<b>IA</b> Arizona	Investment Adviser Representative	Approved	09/22/2025
<b>IA</b> California	Investment Adviser Representative	Approved	09/25/2025

#### Branch Office Locations



## Qualifications

**ELEVATED WEALTH STRATEGIES LLC**  
Westlake Village, CA

**ELEVATED WEALTH STRATEGIES LLC**  
Prescott, AZ



## 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 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	05/05/2003

#### General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	07/21/2021
Securities Industry Essentials Examination (SIE)	SIE	07/13/2021
General Securities Representative Examination (S7)	Series 7	11/26/2014
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/24/1997

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	11/16/2021

### PROFESSIONAL DESIGNATIONS

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

#### Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	02/01/2023 - 10/07/2025	VANDERBILT SECURITIES, LLC	CRD# 5953	WestLake Village, CA
B	07/21/2021 - 12/31/2022	THE LEADERS GROUP, INC.	CRD# 37157	SUMMIT, NJ
B	11/03/2015 - 12/09/2016	STILLPOINT CAPITAL, LLC	CRD# 133146	TAMPA, FL
B	11/26/2014 - 09/11/2015	EMERSON EQUITY LLC	CRD# 130032	SAN MATEO, CA
B	06/27/2003 - 10/01/2007	PACIFIC SELECT DISTRIBUTORS, INC.	CRD# 4452	NEWPORT BEACH, CA
B	03/19/2001 - 07/02/2003	METLIFE INVESTORS DISTRIBUTION COMPANY	CRD# 6695	NEWPORT BEACH, CA
B	10/19/1999 - 02/22/2001	SUNAMERICA CAPITAL SERVICES, INC.	CRD# 13158	JERSEY CITY, NJ
B	10/28/1997 - 03/31/1999	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ

### 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
10/2025 - Present	The Leaders Group DBA Simplicity Investments	Registered Representative	Y	Summit, NJ, United States
01/1994 - Present	Watermark Life	Managing Director	N	Westlake Village, CA, United States
07/2025 - 10/2025	Elevated Wealth Strategies, LLC	Managing Member and CCO	Y	Westlake Village, CA, United States
02/2023 - 10/2025	VANDERBILT SECURITIES, LLC	Registered Representative	Y	Woodbury, NY, United States
04/2021 - 10/2025	Stream Protection Plan LLC	Co-Owner	N	Westlake Village, CA, United States
07/2021 - 12/2022	The Leaders Group Inc	Registered Representative	Y	Littleton, CO, United States
01/2019 - 05/2020	Life & Annuity Masters	CMO	N	Simi Valley, CA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2017 - 01/2019	Self Employed	Self Employed	N	Scottsdale, AZ, United States
01/2018 - 12/2018	Simplicity Marketing	Life Business Coach	N	Scottsdale, AZ, United States
10/2015 - 12/2016	Stillpoint Capital	VP	Y	Scottsdale, AZ, 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.

1.) WATERMARK LIFE - 1/1/20 -2659 Townsgate Road, Suite 105, Westlake Village, CA 91361 - Partner, Wholesale life insurance, Inv Rel, Insurance sales business, 160 hrs/mo; 80 hrs/mo (during trading hours).



## 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
Judgment/Lien	2

### Judgment/Lien

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

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$32,815.91
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	03/05/2012
<b>Date Individual Learned:</b>	05/03/2012
<b>Type of Court:</b>	IRS TAX LIEN
<b>Name of Court:</b>	NO COURT
<b>Location of Court:</b>	NO COURT
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	This debt is currently in a payment plan. The final payment is due on DATE.

#### Disclosure 2 of 2

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$72,260.34
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	05/08/2012
<b>Date Individual Learned:</b>	05/03/2012
<b>Type of Court:</b>	IRS TAX LIEN
<b>Name of Court:</b>	NO COURT
<b>Location of Court:</b>	NO COURT



**Judgment/Lien Outstanding?**

Yes

**Broker Statement**

This debt is currently in a payment plan. The final payment is due on DATE.



## End of Report

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