



IAPD Report

BRANT WOODROW GRIMES

CRD# 4235685

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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

BRANT WOODROW GRIMES (CRD# 4235685)

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 **10/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VOYA INVESTMENTS DISTRIBUTOR, LLC	CRD# 37886	05/25/2011
IA	VOYA INVESTMENT MANAGEMENT CO. LLC	CRD# 106494	05/25/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **53** 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	ALLIANZ GLOBAL INVESTORS DISTRIBUTORS LLC	25567	SAN FRANCISCO, CA	10/30/2007 - 04/27/2011
B	RCM DISTRIBUTORS LLC	120500	SAN FRANCISCO, CA	10/30/2007 - 06/11/2008
B	CITIZENS SECURITIES	13494	PORTLAND, ME	04/02/2004 - 05/04/2007

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
Criminal	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 53 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **VOYA INVESTMENTS DISTRIBUTOR, LLC**

Main Address: **ONE ORANGE WAY
WINDSOR, CT 06095**

Firm ID#: **37886**

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	05/25/2011
B FINRA	General Securities Principal	Approved	07/28/2018
B Alabama	Agent	Approved	04/06/2022
B Alaska	Agent	Approved	04/10/2023
B Arizona	Agent	Approved	09/20/2013
B Arkansas	Agent	Approved	04/07/2022
B California	Agent	Approved	05/25/2011
B Colorado	Agent	Approved	05/25/2011
B Connecticut	Agent	Approved	02/01/2021
B Delaware	Agent	Approved	04/11/2023
B District of Columbia	Agent	Approved	04/06/2023
B Florida	Agent	Approved	04/04/2023
B Georgia	Agent	Approved	03/18/2022



Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	08/04/2017
B Idaho	Agent	Approved	08/04/2017
B Illinois	Agent	Approved	05/25/2011
B Indiana	Agent	Approved	03/18/2022
B Iowa	Agent	Approved	04/08/2022
B Kansas	Agent	Approved	10/30/2018
B Kentucky	Agent	Approved	04/07/2023
B Louisiana	Agent	Approved	04/07/2022
B Maine	Agent	Approved	04/05/2023
B Maryland	Agent	Approved	02/01/2021
B Massachusetts	Agent	Approved	02/02/2021
B Michigan	Agent	Approved	03/21/2022
B Minnesota	Agent	Approved	02/02/2021
B Mississippi	Agent	Approved	04/08/2022
B Missouri	Agent	Approved	02/02/2021
B Montana	Agent	Approved	08/07/2017
B Nebraska	Agent	Approved	06/25/2018
B Nevada	Agent	Approved	06/06/2011
B New Hampshire	Agent	Approved	04/05/2023



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	04/04/2023
B New Mexico	Agent	Approved	06/19/2017
B New York	Agent	Approved	08/08/2021
B North Carolina	Agent	Approved	04/04/2023
B North Dakota	Agent	Approved	05/24/2018
B Ohio	Agent	Approved	04/04/2023
B Oklahoma	Agent	Approved	08/09/2017
B Oregon	Agent	Approved	05/25/2011
B Pennsylvania	Agent	Approved	03/17/2022
B Puerto Rico	Agent	Approved	04/18/2023
B Rhode Island	Agent	Approved	04/10/2023
B South Carolina	Agent	Approved	04/11/2023
B South Dakota	Agent	Approved	01/24/2018
B Tennessee	Agent	Approved	03/17/2022
B Texas	Agent	Approved	08/10/2017
B Utah	Agent	Approved	08/04/2017
B Vermont	Agent	Approved	04/04/2023
B Virgin Islands	Agent	Approved	04/05/2023
B Virginia	Agent	Approved	01/24/2018



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	05/25/2011
B West Virginia	Agent	Approved	04/05/2023
B Wisconsin	Agent	Approved	03/18/2022
B Wyoming	Agent	Approved	08/10/2017

Branch Office Locations

Las Vegas, NV

Employment 2 of 2

Firm Name: **VOYA INVESTMENT MANAGEMENT CO. LLC**

Main Address: 200 PARK AVENUE
NEW YORK, NY 10166

Firm ID#: 106494

Regulator	Registration	Status	Date
IA Alaska	Investment Adviser Representative	Approved	04/08/2022
IA Arizona	Investment Adviser Representative	Approved	09/20/2013
IA California	Investment Adviser Representative	Approved	05/26/2011
IA Colorado	Investment Adviser Representative	Approved	05/21/2012
IA Connecticut	Investment Adviser Representative	Approved	02/01/2021
IA Hawaii	Investment Adviser Representative	Approved	08/29/2017
IA Idaho	Investment Adviser Representative	Approved	08/04/2017
IA Illinois	Investment Adviser Representative	Approved	05/25/2011
IA Indiana	Investment Adviser Representative	Approved	04/07/2022



Qualifications

Regulator	Registration	Status	Date
IA Kansas	Investment Adviser Representative	Approved	10/30/2018
IA Louisiana	Investment Adviser Representative	Approved	04/07/2022
IA Massachusetts	Investment Adviser Representative	Approved	03/02/2021
IA Minnesota	Investment Adviser Representative	Approved	02/02/2021
IA Missouri	Investment Adviser Representative	Approved	02/02/2021
IA Montana	Investment Adviser Representative	Approved	08/07/2017
IA Nebraska	Investment Adviser Representative	Approved	06/28/2018
IA Nevada	Investment Adviser Representative	Approved	06/07/2011
IA New Mexico	Investment Adviser Representative	Approved	06/19/2017
IA North Dakota	Investment Adviser Representative	Approved	06/08/2018
IA Oklahoma	Investment Adviser Representative	Approved	08/08/2017
IA Oregon	Investment Adviser Representative	Approved	01/20/2015
IA South Dakota	Investment Adviser Representative	Approved	01/24/2018
IA Texas	Investment Adviser Representative	Restricted Approval	08/07/2017
IA Utah	Investment Adviser Representative	Approved	08/04/2017
IA Virginia	Investment Adviser Representative	Approved	01/24/2018
IA Washington	Investment Adviser Representative	Approved	05/19/2012
IA Wyoming	Investment Adviser Representative	Approved	06/13/2018



Qualifications

Branch Office Locations

VOYA INVESTMENT MANAGEMENT CO. LLC
Las Vegas, NV



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, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	07/28/2018

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/13/2000

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/21/2000

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Analyst

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	10/30/2007 - 04/27/2011	ALLIANZ GLOBAL INVESTORS DISTRIBUTORS LLC	CRD# 25567	SAN FRANCISCO, CA
B	10/30/2007 - 06/11/2008	RCM DISTRIBUTORS LLC	CRD# 120500	SAN FRANCISCO, CA
B	04/02/2004 - 05/04/2007	CITIZENS SECURITIES	CRD# 13494	PORTLAND, ME
IA	10/07/2003 - 03/16/2004	STRONG CAPITAL MANAGEMENT INC	CRD# 106638	MENOMONEE FALLS, WI
B	10/25/2000 - 03/16/2004	STRONG INVESTMENTS, INC.	CRD# 15658	MENOMONEE FALLS, WI

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
05/2014 - Present	VOYA INVESTMENT MANAGEMENT	VP, SR. CONSULTANT RELATIONS MANAGER	Y	SAN FRANCISCO, CA, United States
05/2014 - Present	VOYA INVESTMENT MANAGEMENT CO. LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	NEW YORK, NY, United States
05/2014 - Present	VOYA INVESTMENTS DISTRIBUTOR, LLC	REGISTERED PRINCIPAL	Y	WINDSOR, CT, 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.



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
Criminal	2

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 2

Reporting Source:	Individual
Court Details:	COON RAPIDS MINNESOTA
Charge Date:	06/15/1996
Charge Details:	CHARGE - ATTEMPTING TO PURCHASE ALCOHOL BY FALSE IDENTIFICATION, BUT AMENDED CHARGE TO UNLAWFULLY ENTERING LIQUOR ESTABLISHMENT; FIVE (5) DAYS JAIL, STAYED FOR SIX (6) MONTHS; \$100 FINE + SURCHARGE (TOTAL \$130). AFTER SIX (6) MONTHS CONVICTION IS REDUCED TO A PETTY MISDEMEANOR.
Felony?	No
Current Status:	Final
Status Date:	07/15/1996
Disposition Details:	A.

Disclosure 2 of 2

Reporting Source:	Individual
Court Details:	MYSTIC LAKE CASINO SHAKOPPE MINNESOTA
Charge Date:	12/28/1995
Charge Details:	MINOR THEFT 1. ONE ACCOUNT 2. MISDEMEANOR 3. GUILTY
Felony?	No
Current Status:	Final



Status Date: 01/28/1996

Disposition Details:

- A. PROBATION FOR SIX MONTHS THEN ACQUITTED
- B. JANUARY 1996
- C. GUILTY
- D. PROBATION FOR SIX MONTHS
- E. JANUARY THRU JULY 1996
- F. AROUND \$250

Broker Statement

DURING CHRISTMAS BREAK FROM SCHOOL, A FEW FRIENDS AND MYSELF WENT TO MYSTIC LAKE CASINO. WHILE AT THE CASINO I APPROACHED AN ATM MACHINE TO WITHDRAW CASH. THE SCREEN READ PLEASE RE-ENTER CASH AMOUNT, SO I ENTERED \$20, NOT THINKING ANYTHING WOULD HAPPEN. THE MACHINE RELEASED \$20, WHICH I KEPT AND USED TO BUY MY FRIENDS DINNER.



End of Report

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