IAPD Report

Tyrone A Chaplin Jr

CRD# 4276472

Section Title	Page(s)

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

Tyrone A Chaplin Jr (CRD# 4276472)

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 **11/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	05/07/2024
IA	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	05/07/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	PRUCO SECURITIES, LLC.	5685	North Bethesda, MD	04/02/2024 - 04/25/2024
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	North Bethesda, MD	04/02/2024 - 04/25/2024
IA	TRANSAMERICA FINANCIAL ADVISORS, INC.	16164	Bowie, MD	04/19/2021 - 04/02/2024

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
Customer Dispute	1
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 **7** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **TRANSAMERICA FINANCIAL ADVISORS, LLC**

Main Address: TWO LIBERTY PLACE
50 SOUTH 16TH STREET, SUITE 3700
PHILADELPHIA, PA 19102

Firm ID#: 16164

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/07/2024
B	Connecticut	Agent	Approved	11/21/2025
B	District of Columbia	Agent	Approved	05/07/2024
IA	District of Columbia	Investment Adviser Representative	Approved	08/16/2024
B	Florida	Agent	Approved	05/08/2024
B	Maryland	Agent	Approved	05/07/2024
IA	Maryland	Investment Adviser Representative	Approved	05/07/2024
B	New Jersey	Agent	Approved	05/07/2024
IA	New Jersey	Investment Adviser Representative	Approved	05/07/2024
B	New York	Agent	Approved	06/14/2024
B	Virginia	Agent	Approved	06/13/2024
IA	Virginia	Investment Adviser Representative	Approved	06/13/2024

Branch Office Locations

Qualifications

TRANSAMERICA FINANCIAL ADVISORS, LLC
16901 Melford Blvd.
Suite 322
Bowie, MD 20715

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	04/02/2021
B	Securities Industry Essentials Examination (SIE)	SIE	08/23/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/07/2005
B	General Securities Representative Examination (S7)	Series 7	05/03/2005

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/17/2021
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/26/2007

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
B	04/02/2024 - 04/25/2024	PRUCO SECURITIES, LLC.	CRD# 5685	North Bethesda, MD
IA	04/02/2024 - 04/25/2024	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	North Bethesda, MD
IA	04/19/2021 - 04/02/2024	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 16164	Bowie, MD
B	04/05/2021 - 04/02/2024	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	Bowie, MD
IA	09/14/2016 - 08/23/2018	SUNTRUST ADVISORY SERVICES, INC.	CRD# 283390	SILVER SPRING, MD
B	06/19/2013 - 08/23/2018	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	SILVER SPRING, MD
IA	06/19/2013 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	SILVER SPRING, MD
B	06/13/2011 - 05/24/2013	WELLS FARGO ADVISORS, LLC	CRD# 19616	COLUMBIA, MD
IA	06/08/2011 - 05/24/2013	WELLS FARGO ADVISORS, LLC	CRD# 19616	COLUMBIA, MD
IA	01/06/2010 - 05/05/2010	METLIFE SECURITIES INC.	CRD# 14251	BALTIMORE, MD
B	07/08/2005 - 05/05/2010	METLIFE SECURITIES INC.	CRD# 14251	BALTIMORE, MD
B	07/08/2005 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	BALTIMORE, MD

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
05/2024 - Present	TRANSAMERICA FINANCIAL ADVISORS, INC	Registered Representative	Y	Bowie, MD, United States
04/2024 - Present	PROPERTY	OWNER	N	BALTIMORE, MD, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2024 - Present	TRANSAMERICA AGENCY NETWORK	Financial Consultant	Y	Bowie, MD, United States
04/2024 - Present	UNITED FINANCIAL SERVICES	Sales	Y	Baltimore, MD, United States
08/2020 - Present	Rental Property	OWNER	N	LOTHIAN, MD, United States
04/2020 - Present	ALLIED NURSING SERVICES, LLC	OWNER	N	OWINGS MILLS, MD, United States
01/2020 - Present	RENTAL PROPERTY	OWNER	N	LOTHIAN, MD, United States
04/2024 - 04/2024	Pruco Securities, LLC	Registered Representative	Y	North Bethesda, MD, United States
04/2024 - 04/2024	The Prudential Insurance Company of America	Financial Professional	Y	North Bethesda, MD, United States
12/2020 - 03/2024	TRANSAMERICA FINANCIAL ADVISORS, INC	Registered Representative	Y	Bowie, MD, United States
08/2020 - 03/2024	TRANSAMERICA AGENCY NETWORK	FINANCIAL CONSULTANT	Y	BOWIE, MD, United States
08/2020 - 03/2024	UNITED FINANCIAL SERVICES	SALES	Y	BALTIMORE, MD, United States
04/2020 - 10/2022	CARING HANDS HOME CARE, LLC	OWNER	N	OWINGS MILLS, MD, United States
12/2016 - 08/2022	FAMILY CENTERED HOME CARE, LLC	PART OWNER	N	UPPER MARLBORO, MD, United States
10/2018 - 09/2020	AIRBNB	HOST	N	Owings Mills, MD, United States
06/2020 - 06/2020	Allstate Financial Services	Assistant	N	Owings Mills, MD, United States
12/2018 - 01/2020	UBER	DRIVER	N	SAN FRANCISCO, CA, United States
06/2016 - 08/2018	Suntrust Investment Services	Registered Representative	Y	Silver Springs, MD, United States
05/2013 - 08/2018	SUNTRUST BANK	PREMIER BANKER	N	SILVER SPRING, MD, 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.

Sales of insurance and non-insurance products, part-time or full-time, for companies affiliated with Transamerica Financial Advisors, Inc.

Transamerica Agency Network / Investment Related/Yes 1201 Wills St Suite 800 Baltimore, MD 21231/assist client with life insurance planning/Associate Director/05/2024/40/40/ assist client with life insurance planning

RENTAL PROPERTY/Investment Related - No/1102 WRIGHTON ROAD LOTHIAN MD 20711/RENTAL PROPERTY/OWNER/01.2020/0/0/MAINTENANCE OF PROPERTY IS OUTSCOURCED TO PRIVATE CONTRACTOR.

Rental Property/Investment Related - 9856 Bale Court Owings Mills MD 21117/ Rental Property/Owner 08/2021 Maintenance of property is outsourced to private contractor.

Property/Investment Related - 1522 Mcculloh St Baltimore MD 21217 Being renovated .

Allied Nursing Services, LLC / 0420-Present / 8 Durum Court Owings Mills, MD 21117/ Part Owner / Elderly Care Services / Hrs Work Monthly: 4 / Sec Trading Hrs: 0 / This IBA is not yet in operation and will take approximately 12-18 months to be licensed with the state of Maryland. My Responsibility at such time will be limited to financial oversight since I have a background in finance. Provide elderly care.

United Financial Servies/Investment related/no/ 1201 Wills St Suite 800 Baltimore, MD 21231/assist client with life insurance planning/Associate Director/05/2024/10/10/ assist client with life insurance planning

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
Customer Dispute	1
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SunTrust Investment Services, Inc.
Allegations:	Client alleges breach of fiduciary duty
Product Type:	Other: Not specified
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Compensatory damage amount not specified
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-00420
Filing date of arbitration/CFTC reparation or civil litigation:	02/07/2020

Customer Complaint Information

Date Complaint Received:	02/14/2020
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/14/2020
Settlement Amount:	
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-00420
Date Notice/Process Served:	02/07/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/22/2020
Monetary Compensation Amount:	$135,000.00
Individual Contribution Amount:	$0.00
Firm Statement	THE DETAILS WERE PREVIOUSLY ENTERED IN SECTION 7 IN ERROR

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SunTrust Investment Services, Inc.
Allegations:	Client alleges breach of fiduciary duty
Product Type:	Other: Not specified
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Compensatory damage amount not specified
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-00420

Filing date of arbitration/CFTC reparation or civil litigation:	02/07/2020

Customer Complaint Information

Date Complaint Received:	02/14/2020
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/14/2020
Settlement Amount:	
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-00420
Date Notice/Process Served:	02/07/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/22/2020
Monetary Compensation Amount:	$135,000.00
Individual Contribution Amount:	$0.00

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:	Firm
Firm Name:	SunTrust Investment Services
Termination Type:	Discharged
Termination Date:	08/17/2018
Allegations:	Terminated by affiliated company, SunTrust Bank for Code of Conduct Violations. Not investment related.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	SunTrust Investment Services
Termination Type:	Discharged
Termination Date:	08/17/2018
Allegations:	Terminated by affiliated company, SunTrust Bank for Code of Conduct Violations. Not investment related.
Product Type:	No Product

End of Report

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