



IAPD Report

ANDREW GLENN TAYLOR

CRD# 4342791

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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

ANDREW GLENN TAYLOR (CRD# 4342791)

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 **01/10/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	EVOLUTIONARY TREE CAPITAL MANAGEMENT, LLC	CRD# 291127	03/15/2023

QUALIFICATIONS

This representative is currently registered in **0** 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
B	FINALIS SECURITIES LLC	305908	NEW YORK, NY	01/28/2022 - 01/02/2023
IA	CUMBERLAND PARTNERS, LLC	153330	MEMPHIS, TN	09/09/2010 - 11/29/2022
B	GROWTH CAPITAL SERVICES, INC.	124658	MEMPHIS, TN	10/08/2019 - 01/31/2022

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
Judgment/Lien	3



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 **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EVOLUTIONARY TREE CAPITAL MANAGEMENT, LLC**
Main Address: 1199 N. FAIRFAX ST.
SUITE 801
ALEXANDRIA, VA 22314
Firm ID#: 291127

Regulator	Registration	Status	Date
IA Tennessee	Investment Adviser Representative	Approved	03/15/2023

Branch Office Locations

EVOLUTIONARY TREE CAPITAL MANAGEMENT, LLC
Collierville, TN



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

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Municipal Advisor Representative Qualification Exam (S50)	Series 50	09/11/2017
General Securities Representative Examination (S7)	Series 7	06/01/2012

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Securities Agent State Law Examination (S63)	Series 63	08/06/2013
--	-----------	------------

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	01/28/2022 - 01/02/2023	FINALIS SECURITIES LLC	CRD# 305908	NEW YORK, NY
IA	09/09/2010 - 11/29/2022	CUMBERLAND PARTNERS, LLC	CRD# 153330	MEMPHIS, TN
B	10/08/2019 - 01/31/2022	GROWTH CAPITAL SERVICES, INC.	CRD# 124658	MEMPHIS, TN
IA	10/08/2019 - 01/31/2022	GROWTH CAPITAL SERVICES, INC.	CRD# 124658	Memphis, TN
B	05/31/2017 - 10/04/2019	PATRICK CAPITAL MARKETS, LLC	CRD# 16518	Memphis, TN
B	06/19/2013 - 05/30/2017	TRESTLE POINT, LLC	CRD# 138494	BIRMINGHAM, MI
IA	01/07/2003 - 03/30/2010	SOUTHERNSUN ASSET MANAGEMENT, INC	CRD# 108741	GERMANTOWN, TN

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
03/2023 - Present	EVOLUTIONARY TREE CAPITAL MANAGEMENT LLC	DIRECTOR OF CLIENT RELATIONS	Y	ALEXANDRIA, VA, United States
01/2022 - 12/2022	FINALIS SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	CHICAGO, IL, United States
02/2010 - 11/2022	CUMBERLAND PARTNERS, LLC	Co-Managing Member, Chief Compliance Officer, Chief Municipal Compliance Officer	Y	MEMPHIS, TN, United States
10/2019 - 01/2022	Growth Capital Services Inc.	Registered Representative	Y	Memphis, TN, United States
05/2017 - 10/2019	Patrick Capital Markets, LLC	Registered Representative	Y	St. Louis, MO, United States
06/2013 - 04/2017	TRESTLE POINT, LLC	REGISTERED REPRESENTATIVE	Y	Brentwood, TN, 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
Judgment/Lien	3

Judgment/Lien

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

Disclosure 1 of 3

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	\$210,204.95
Judgment/Lien Type:	Tax
Date Filed with Court:	01/22/2020
Date Individual Learned:	02/10/2020
Type of Court:	Department of the Treasury - Internal Revenue Service
Name of Court:	Register of Deeds
Location of Court:	Shelby County, Tennessee
Docket/Case #:	20007560
Judgment/Lien Outstanding?	Yes
Broker Statement	This lien represents taxes due from the applicant for calendar year 2018 and is in addition to liens filed by the Internal Revenue Service on May 16, 2019 and August 8, 2019, which relate to earlier tax periods. The applicant is liquidating assets to cover portions of the tax obligations. Tax counsel for the applicant continues to seek a payment plan for the outstanding amounts due from applicant.

Disclosure 2 of 3

Reporting Source:	Individual
Judgment/Lien Holder:	Department of the Treasury-Internal Revenue Service
Judgment/Lien Amount:	\$1,129,711.07
Judgment/Lien Type:	Tax
Date Filed with Court:	08/08/2019
Date Individual Learned:	08/14/2019



Type of Court: Department of the Treasury-Internal Revenue Service
Name of Court: Registry of Deeds
Location of Court: Shelby County, Memphis, Tennessee
Docket/Case #: 19081546
Judgment/Lien Outstanding? Yes
Broker Statement The lien is in addition to the lien filed by the Internal Revenue Service on 05/16/2019 and relates to income taxes owed for additional time periods. The applicant is continuing to seek a payment plan with the IRS.

Disclosure 3 of 3

Reporting Source: Individual
Judgment/Lien Holder: Department of the Treasury - Internal Revenue Service
Judgment/Lien Amount: \$273,155.22
Judgment/Lien Type: Tax
Date Filed with Court: 05/16/2019
Date Individual Learned: 05/27/2019

Type of Court: Department of the Treasury-Internal Revenue Service
Name of Court: Register of Deeds,
Location of Court: Shelby County, Memphis, TN
Docket/Case #: 19048602
Judgment/Lien Outstanding? Yes

Broker Statement The lien is based on an assessment made by the IRS for amounts the IRS believes are due from Mr. Taylor for his personal income taxes for the tax year ending December 2017. The IRS is processing assessments for additional tax years that are likely to result in additional tax liens. Tax counsel for Mr. Taylor has been attempting to contact a representative of the IRS since January 2019 to set up a payment plan for Mr. Taylor. Tax counsel was not successful in reaching an IRS agent until June 27, 2019. Mr. Taylor is currently working with tax counsel to develop a payment plan satisfactory to the IRS that will address the entire amounts assessed. As part of the plan, Mr. Taylor is currently seeking to liquidate assets.



End of Report

This page is intentionally left blank.