



IAPD Report

Rachel C Anderson

CRD# 5427633

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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

Rachel C Anderson (CRD# 5427633)

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 **01/02/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FAIRHAVEN FINANCIAL ADVISORY CORPORATION	CRD# 124266	06/06/2017
B	INNOVATION PARTNERS LLC	CRD# 146344	11/01/2020

QUALIFICATIONS

This representative is currently registered in **1** 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	MERCAP SECURITIES, LLC	156607	ATLANTA, GA	03/22/2019 - 11/02/2020
IA	ARBOR POINT ADVISORS	165127	East Lansing, MI	05/03/2017 - 06/02/2017
B	SECURITIES AMERICA, INC.	10205	LAVISTA, NE	05/03/2017 - 06/02/2017

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?

No



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 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **INNOVATION PARTNERS LLC**
Main Address: 5950 FAIRVIEW ROAD
SUITE 140
CHARLOTTE, NC 28210
Firm ID#: 146344

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	11/01/2020
B FINRA	General Securities Representative	Approved	11/01/2020
B Michigan	Agent	Approved	11/01/2020

Branch Office Locations

INNOVATION PARTNERS LLC
1400 Abbot Road Suite 330
East Lansing, MI 48823

Employment 2 of 2

Firm Name: **FAIRHAVEN FINANCIAL ADVISORY CORPORATION**
Main Address: 1400 ABBOT ROAD
STE 330
EAST LANSING, MI 48823
Firm ID#: 124266

Regulator	Registration	Status	Date
IA Michigan	Investment Adviser Representative	Approved	06/06/2017

Branch Office Locations

FAIRHAVEN FINANCIAL ADVISORY CORPORATION
1400 ABBOT ROAD
STE 330
EAST LANSING, MI 48823



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	04/04/2014

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	06/02/2017
General Securities Representative Examination (S7)	Series 7	10/01/2008

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	11/07/2016
Uniform Securities Agent State Law Examination (S63)	Series 63	10/14/2008

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	03/22/2019 - 11/02/2020	MERCAP SECURITIES, LLC	CRD# 156607	ATLANTA, GA
IA	05/03/2017 - 06/02/2017	ARBOR POINT ADVISORS	CRD# 165127	East Lansing, MI
B	05/03/2017 - 06/02/2017	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	10/03/2008 - 05/08/2017	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	EAST LANSING, MI

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
11/2020 - Present	Innovation Partners LLC	REGISTERED ASSISTANT	Y	Charlotte, NC, United States
06/2017 - Present	FAIRHAVEN FINANCIAL ADVISORY CORP	IAR AND CCO	Y	LANSING, MI, United States
03/2019 - 11/2020	MERCAP SECURITIES, LLC	REGISTERED ASSISTANT	Y	PAOLI, PA, United States
04/2017 - 06/2017	ARBOR POINT ADVISORS	IAR	Y	EAST LANSING, MI, United States
04/2017 - 06/2017	SECURITIES AMERICA, INC.	REGSITERED REPRESENTATIVE	Y	EAST LANSING, MI, United States
08/2007 - 06/2017	FAIRHAVEN FINANCIAL ADVISORY CORP	OP ADMINISTRATOR AND CCO	Y	LANSING, MI, United States
09/2007 - 04/2017	ROYAL ALLIANCE ASSOCIATES, INC	REGISTERED ADMIN	Y	EAST LANSING, MI, 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) FAIRHAVEN FINANCIAL ADVISORY CORPORATION 1400 ABBOT ROAD, SUITE 330, EAST LANSING, MI 48823 517-332-2900. EMAIL: RACHELA@FAIRHAVENFINANCIAL.COM. BUSINESS IS A CORPORATION. NATURE OF BUSINESS: REGISTERED INVESTMENT ADVISOR. BUSINESS RELATED: YES. YOUR TITLE/POSITION: CHIEF COMPLIANCE



Registration & Employment History



OTHER BUSINESS ACTIVITIES

OFFICER AND INVESTMENT ADVISOR REPRESENTATIVE. DUTIES OF POSITION: COMPLIANCE AND BACK OFFICE. APPROX NUMBER OF HOURS PER MONTH DEVOTE TO ACTIVITY: 160. NUMBER OF HOURS YOU DEVOTE DURING SECURITIES TRADING HOURS: 8. DATE ACTIVITY STARTED: 2007. FINANCIAL INTEREST: NO. COMPENSATION: SALARY.

2) Innovation Partners, LLC, Charlotte, NC, Registered Representative, Broker-dealer; Investment related; 5 hours per month, all during trading hours.



End of Report

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