



## IAPD Report

**VERNA Lisa DOTTIN-MAITLAND**

CRD# 6446422

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8



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

### VERNA Lisa DOTTIN-MAITLAND (CRD# 6446422)

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 **07/15/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ADVICE AND PLANNING SERVICES	CRD# 20472	06/16/2021
B	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	CRD# 20472	06/16/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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
IA	J.P. MORGAN SECURITIES LLC	79	FLUSHING, NY	01/23/2019 - 06/02/2021
B	J.P. MORGAN SECURITIES LLC	79	FLUSHING, NY	01/15/2019 - 06/02/2021
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	GARDEN CITY, NY	04/10/2018 - 01/02/2019

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

### Employment 1 of 1

Firm Name: **ADVICE AND PLANNING SERVICES**

Main Address: 730 THIRD AVENUE  
NEW YORK, NY 10017-3206

Firm ID#: 20472

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	06/16/2021
	FINRA	Invest. Co and Variable Contracts	Approved	06/16/2021
	Alabama	Agent	Approved	01/06/2022
	Alaska	Agent	Approved	01/06/2022
	Arizona	Agent	Approved	01/06/2022
	Arkansas	Agent	Approved	01/06/2022
	California	Agent	Approved	01/31/2022
	Colorado	Agent	Approved	01/06/2022
	Connecticut	Agent	Approved	06/16/2021
	Delaware	Agent	Approved	01/06/2022
	District of Columbia	Agent	Approved	01/06/2022
	Florida	Agent	Approved	11/29/2021
	Georgia	Agent	Approved	01/31/2022



## Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	01/06/2022
B	Idaho	Agent	Approved	01/06/2022
B	Illinois	Agent	Approved	01/06/2022
B	Indiana	Agent	Approved	01/06/2022
B	Iowa	Agent	Approved	01/06/2022
B	Kansas	Agent	Approved	01/06/2022
B	Kentucky	Agent	Approved	01/06/2022
B	Louisiana	Agent	Approved	01/06/2022
B	Maine	Agent	Approved	06/16/2021
B	Maryland	Agent	Approved	01/06/2022
B	Massachusetts	Agent	Approved	06/16/2021
B	Michigan	Agent	Approved	06/16/2021
B	Minnesota	Agent	Approved	01/06/2022
B	Mississippi	Agent	Approved	01/06/2022
B	Missouri	Agent	Approved	01/06/2022
B	Montana	Agent	Approved	01/06/2022
B	Nebraska	Agent	Approved	01/06/2022
B	Nevada	Agent	Approved	01/06/2022
B	New Hampshire	Agent	Approved	06/16/2021



## Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	01/06/2022
B	New Mexico	Agent	Approved	01/06/2022
B	New York	Agent	Approved	06/16/2021
IA	New York	Investment Adviser Representative	Approved	06/16/2021
B	North Carolina	Agent	Approved	06/16/2021
B	North Dakota	Agent	Approved	01/06/2022
B	Ohio	Agent	Approved	01/07/2022
B	Oklahoma	Agent	Approved	01/06/2022
B	Oregon	Agent	Approved	01/06/2022
B	Pennsylvania	Agent	Approved	06/16/2021
B	Rhode Island	Agent	Approved	06/16/2021
B	South Carolina	Agent	Approved	01/06/2022
B	South Dakota	Agent	Approved	01/06/2022
B	Tennessee	Agent	Approved	01/06/2022
B	Texas	Agent	Approved	01/06/2022
B	Utah	Agent	Approved	01/06/2022
B	Vermont	Agent	Approved	06/16/2021
B	Virginia	Agent	Approved	01/06/2022
B	Washington	Agent	Approved	01/06/2022



## Qualifications

	Regulator	Registration	Status	Date
B	West Virginia	Agent	Approved	01/06/2022
B	Wisconsin	Agent	Approved	01/06/2022
B	Wyoming	Agent	Approved	01/06/2022

## Branch Office Locations

### ADVICE AND PLANNING SERVICES

Queens Village, NY



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

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

No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	01/17/2018
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/23/2015

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	04/09/2018
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	04/24/2015



### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.





## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	01/23/2019 - 06/02/2021	J.P. MORGAN SECURITIES LLC	CRD# 79	FLUSHING, NY
B	01/15/2019 - 06/02/2021	J.P. MORGAN SECURITIES LLC	CRD# 79	FLUSHING, NY
IA	04/10/2018 - 01/02/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	GARDEN CITY, NY
B	10/16/2017 - 01/02/2019	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	GARDEN CITY, NY
B	01/06/2016 - 04/05/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	YONKERS, NY
B	05/23/2015 - 12/11/2015	PRUCO SECURITIES, LLC.	CRD# 5685	HOWARD BEACH, NY

### 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
05/2021 - Present	TIAA	Financial Consultant	Y	Queens Village, NY, United States
05/2021 - Present	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	Registered Representative	Y	Queens Village, NY, United States
12/2018 - 05/2021	JP Morgan Securities, LLC	Registered Representative	Y	New York, NY, United States
12/2018 - 05/2021	JPMorgan Chase Bank N.A.	Financial Advisor	Y	New York, NY, United States
08/2017 - 12/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Registered Representative	Y	GARDEN CITY, NY, United States
07/2017 - 12/2018	BANK OF AMERICA, N.A.	Financial Advisor	Y	GARDEN CITY, NY, United States
04/2017 - 08/2017	Sperry Federal Credit Union	Branch Manager	N	Garden City Park, NY, United States
12/2015 - 03/2017	WELLS FARGO BANK, NA	RB STORE MANAGER	Y	YONKERS, NY, United States
12/2015 - 03/2017	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	YONKERS, NY, United States



## Registration & Employment History



### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2015 - 12/2015	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	FINANCIAL PROFESSIONAL	N	HOWARD BEACH, NY, United States
01/2015 - 12/2015	PRUCO SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	HOWARD BEACH, NY, 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.

Name: CakeBizNY

Position: owner/baker Nature: Baking Investment Related: No Hours: 10 Securities Trading Hours: 0 Start Date: 01/01/2017

Address: Home Address, Queens Village NY 11428, United States

Description: Custom homemade cake baking and decorating



## End of Report

This page is intentionally left blank.