



PURPOSE. PASSION. PARTNERSHIP.





"We hold **Gratitude** as one of our core values and believe one must always be appreciative of others and what is available to them"



"Being **Respectful** is a form of appreciation and an acknowledgement of equality"



"We are **Innovative** - our entrepreneurial spirit drives us to constantly look for ways to be unique and cutting edge. We continually explore new ways to improve the business and individual performance"



"Maintaining a collaborative atmosphere ensures that **Teamwork** is a core value at Vanderbilt."



"The ability to **Trust** and be trusted is absolutely essential to the way we conduct ourselves. We hold ourselves accountable for our behaviors and actions"

A WELCOME MESSAGE FROM OUR CHAIRMAN

Welcome to Vanderbilt Financial Group! Whether you are ready for a change or just dipping your toes in the water, I invite you to learn more about our unique firm through exploring our webpage or visiting us in Woodbury, NY to meet with our wonderful team. I'm proud of the VFG legacy and hope you add to it by joining us!

Vanderbilt Financial Group is an investment firm disrupting traditional finance by focusing on socially and environmentally responsible, ethical, and impactful investments. We do this while keeping our advisors front and center, providing a world-class level of service with a "family office" feel. Headquartered in a LEED-certified Platinum building, our commitment to changing the world begins at home in our office and within our culture.

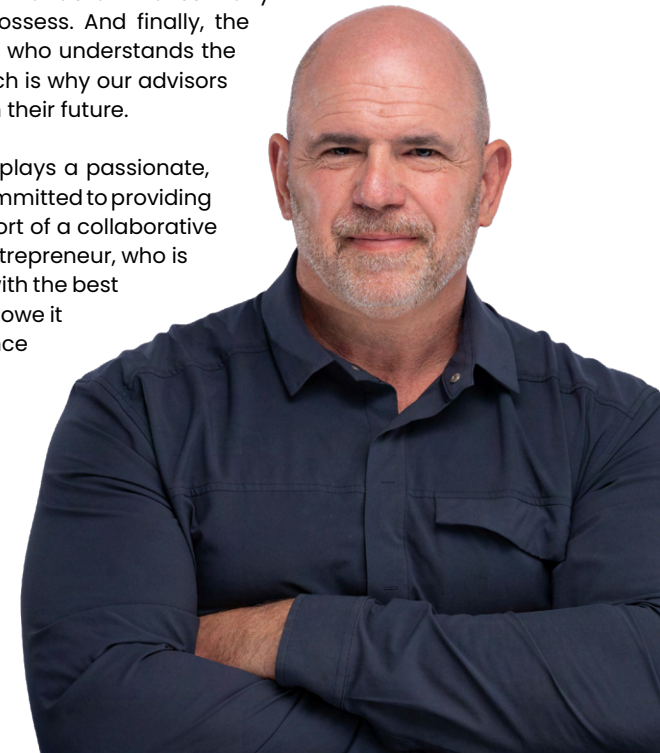
Over the years, Vanderbilt has become known as "The Sustainable Wealth Management Firm" for our commitment to providing our financial advisors and clients greater access to values-aligned investments. This journey is different for each individual and we offer the tools, resources and products to discover the impact your clients want to have through the investments they make with you. Whether aligning with one of the United Nations' Sustainable Development Goals or simply making an impact in the financial lives of their family, we're dedicated to helping you successfully navigate the world of impactful investments in all of its different facets.

Our firm was formed over 50 years ago by two brothers to help manage their families' money. In 2001, I acquired the firm and rebranded it as Vanderbilt Financial Group*. I'm often asked why the name "Vanderbilt" was chosen; the answer is simple: Cornelius Vanderbilt had the foresight to invest in an innovative transportation system in America which connected a country spread over a large land mass, was the foundation of our modern-day infrastructure, and is still in use today. Our team celebrates the entrepreneurial spirit of Vanderbilt that so many of our independent advisors also possess. And finally, the Vanderbilt name is reputable as one who understands the attainment of wealth and of risk, which is why our advisors and their clients turn to us to invest in their future.

Everyone on the Vanderbilt team displays a passionate, vibrant, and entrepreneurial vision committed to providing advisor independence with the support of a collaborative community. If you are a leader, an entrepreneur, who is committed to providing your clients with the best organization to serve their needs, you owe it to yourself to contact us and experience the "Vanderbilt Difference!"

Impactfully Yours,

Stephen Distant
Chairman & Founder,
Vanderbilt Financial Group



AS AN ENTREPRENEURIAL ADVISOR, YOU HAVE A CHOICE.

WHY CHOOSE VANDERBILT?

UNIQUE BUSINESS

Over the years, Vanderbilt has built an agile business system that encourages innovation, learning, and growth. We embrace new technology and ideas in an effort to help our advisors grow their businesses in a meaningful way. Whether it's learning a new program that improves our workflow, infusing gamification into our workplace, or incorporating sustainability into our operations, we are passionate about being a modern pioneer in the financial services industry.

UNIQUE CULTURE

True G.R.I.T.T. comprises the core values at the heart of the Vanderbilt culture.

- Gratitude
- Teamwork
- Respect
- Trustworthiness
- Innovation

These values infuse an entrepreneurial spirit in our workplace – inspiring and celebrating innovative ways of doing business that empowers employees. Under the leadership of Chairman and Founder Steve Distante, Vanderbilt's culture has garnered awards such as being named one of the Best Places to Work on Long Island five years in a row, Inclusive Workplace by Best Companies Group COLOR, Investment News Top Independent Broker Dealer in 2022, as well as being recognized as one of the finest run companies by the Management Action Plan (M.A.P.) organization.

UNIQUE ADVANTAGES

- Multiple Clearing & Custody Options
- Over 225 Independent Financial Advisors and Growing
- Advisors Located in 32 States
- 120 Offices
- Six OSJs
- Over 5 Billion Assets Under Management
- Easy Access to Management and Back Office
- Redtail CRM Database Integration
- Electronic Straight Through Processing
- Mobile Deposit Capabilities for Clients and Investment Professionals
- Transition Concierge Services with DocuSign
- Full Technology Suite: DocuSpace, DocuSign, Albridge, Wealthscape, Black Diamond
- In-House Bond Desk
- In-House Website, Graphic Design & Social Media Assistance
- Client Text Capabilities
- Advisor 1099 Health Insurance
- Advisory Services
- Insurance Services
- Low Fee Structure
- Experience serving Entrepreneurial Advisors like you!



STEPHEN DISTANTE

Chairman & Founder

Steve Distante is an entrepreneur, author, documentary filmmaker, and farmer.

Stephen Distante is the Chairman and Founder of Vanderbilt Financial Group, a disruptor in finance focused on socially and environmentally responsible, ethical, and impactful investments. A leader of leaders, Steve shares his unique message of entrepreneurship with purpose as an author, an engaging keynote speaker, a filmmaker, an ambassador to the United Nations Sustainable Development Goals, and through the online educational platform he pioneered, Impact U.

Under his leadership, Vanderbilt's culture has garnered awards such as the Future50 Award, Corporate Culture Award from SmartCEO and was recently heralded as a Best Place to Work on Long Island for five consecutive years, as well as being recognized as one of the finest run companies by the M.A.P. organization. Headquartered in a LEED-certified Platinum building, Vanderbilt is known as "an always evolving wealth management firm" for their continued commitment to innovation and impact investing. Steve has been a pioneer in the impact investing space – embracing it early on as an opportunity to affect real change in the world by providing capital to impactful companies without concessionary returns to clients.

He and his wife own a 360-acre farm in Georgia, Cally Farms, where they grow Paulownia trees, and host entrepreneurial retreats, www.CallyFarms.Eco. Steve's book, *Pitchology: The Art & Science of Raising Capital for Entrepreneurs* www.pitchology.ai was written to help entrepreneurs not get taken advantage of and to better understand a variety of financial opportunities within our businesses.

Steve also helps to prop up the entrepreneurial community. As a former President of the Entrepreneurs Organization (EO) of New York City, Steve founded the new EO Long Island chapter in 2018. EO is the world's most influential group of founding entrepreneurs, with over 16,500 diverse leaders in 60+ countries. Named as the United Nations Global Ambassador of EO, Steve represents entrepreneurs working across the globe on the UN Sustainable Development Goals (SDGs), a collection of 17 global goals set to transform the world by the year 2030.

Steve's KOLBE A™ INDEX is 6753, which measures the instinctive ways you take action when you strive.

His Strengths are Futuristic, Activator, Arranger, Connectedness and Input.



HEIDI DISTANTE
Chief Executive Officer

“We are committed to disrupting the norms of the finance industry, offering a highly customized and hands on experience to our advisors, and a forward-thinking management team that innovates to be world class. Part of this disruption is ensuring a diverse, inclusive and impactful community committed to a sustainable future.”

Heidi has been with Vanderbilt Financial Group since 2001 and held the role of Chief of Staff for 7 years prior to becoming CEO in 2019. Heidi supports the firm’s daily operations. Heidi has worked within every department of the back office, oftentimes building that department from scratch in the early days of the firm. She was a part of the original management team that grew the firm from a smaller Office of Supervisory Jurisdiction (OSJ) to the firm that continues to grow year over year, spread across the country in 34 states. In addition to growing Vanderbilt, Heidi has also spearheaded major strategy and technical shifts within the Firm’s cybersecurity efforts – managing experts across technology, compliance and operations while working directly with the regulatory entities. Alongside VFG President, Joe Trifiletti, she oversees the day-to-day operations of the firm.

Prior to joining Vanderbilt, Heidi spent 15 years at Citicorp Retail Services as a Relationship Manager in their Private Label Credit Card Division. Her experience functioning as an interface between the Operations Department and luxury retailers exposed her to exceptional customer service tactics in the Financial Services industry, which has carried over into establishing the high-level of customer service Vanderbilt Financial Group has become known for.

Heidi and Steve Distante have been married for over 30 years and are the proud parents of their entrepreneurial children Elizabeth and Quinten. Heidi’s creative nature keeps her busy and involved, whether she is baking, gardening, sewing, or serving her family and community. She is a spirited volunteer, deeply involved with the Suffolk County Girl Scouts for over 20 years, as well as an ambassador for The Interfaith Nutrition Network (The INN), serving the hungry and homeless on Long Island. Heidi & Steve enjoy being in nature at their farm in GA or fishing on the east end of Long Island.

Heidi’s KOLBE A™ INDEX is 6743, which measures the instinctive ways you take action when you strive.

Her Strengths are Connectedness, Responsibility, Belief, Empathy and Developer.



JOSEPH TRIFILETTI
President

Joseph has been a part of the Vanderbilt Financial Group family since 2006 when he joined the Operations team and has steadily risen in rank from an Operations Specialist through to Chief Operating Officer and was promoted in 2019 to President. As the leader of the firm’s recruitment efforts since 2015, Joe has overseen the explosive growth of Vanderbilt Financial Group – signing over 175 new Financial Advisors and increasing the Firm’s assets under management (AUM) by 300%.

Joe manages the strategic growth of the firm, mentors the leadership team and supervises the daily operations of the firm alongside CEO Heidi Distante. Joe earned his Bachelor’s degree in Science for Management Technology from Farmingdale State University of New York. Joe is a General Securities Principal (FINRA Series 24), a Registered Options Principal (FINRA Series 4), a Municipal Securities Principal (FINRA Series 53), and holds his General Securities Representative License (FINRA Series 7) and Uniform Combined State Law License (FINRA Series 66), and Operations Professional License (FINRA Series 99), as well as being a notary public.

Joe’s personal life currently revolves around his pride and love for his two sons and one daughter with his wife Heather, a math teacher. Both Heather and Joe are passionate about supporting the St. Jude foundation. When not on Dad-duty, Joe enjoys fishing and spending time in the outdoors.

Joe’s KOLBE A™ INDEX is 7634, which measure the instinctive ways you take action when you strive.

His Strengths are Harmony, Consistency, Discipline, Maximizer and Relator.



MEGAN PLAPP
Chief Financial Officer

Megan Plapp joined Vanderbilt in January 2017 as Controller and was quickly promoted to Chief Financial Officer. Megan brings meticulous oversight to the firm’s finances while ensuring the highest level of customer service to financial advisors. Her role is largely focused on managing organizational budgets while projecting future financial goals as Vanderbilt continues on an upward path of growth.

Megan attended SUNY Oneonta, graduating with a bachelor’s degree in Accounting and a dual minor in Finance and Business Communications. Prior to joining Vanderbilt, Megan worked in the Finance and Accounting departments at Peyser & Alexander Management, Gersh Management Services, and West Hills Day Camp, and was a small business owner for seven years in Patchogue, NY.

Megan grew up in Poughkeepsie, New York and now lives in Melville with her husband Chris and three children Jacob, CJ, and Haley. In her free time Megan enjoys crafting, baking, and staying active as a busy and devoted mom.

Megan’s KOLBE A™ INDEX is 65-3, which measures the instinctive ways you take action when you strive.

Her Strengths are Responsibility, Developer, Empathy, Woo, Communication.



DANIEL ANTENOR, JR.
Chief Operating Officer

Daniel “Dan” Antenor joined Vanderbilt in October 2018. Through his professional experiences, Dan brings an energetic meticulousness and keen understanding assisting Advisors in building their practice.

Dan has been a Finance professional for over 10 years, serving in Operations, Compliance, and IT roles in both small and large institutions. Prior to joining Vanderbilt, Dan was an Agency Compliance Officer with Blue Ocean Wealth, a MassMutual firm. He holds his FINRA Series 99, 4, 7, 24, 52, 53, 63 and 65 licenses, is a Certified Financial Crimes Specialist and Anti-Money Laundering Specialist and earned his Master’s in Business Administration (M.B.A.) from Baruch College with a concentration in Finance and Quantitative Modeling. Dan is continuing his professional development by working towards his CFA designation. He has successfully passed the Level I CFA exam and is currently working towards Level 2.

Dan’s KOLBE A™ INDEX is 8716, which measures the instinctive ways you take action when you strive.

His Strengths are Learner, Analytical, Focus, Achiever and Futuristic.



DOUG GERAGHTY, CFP®
Chief Compliance Officer

Doug joined Vanderbilt as Chief Compliance Officer in March 2022 and brings a wealth of knowledge and insight. Doug is a dynamic Compliance and Regulatory professional with extensive leadership experience in all facets of broker-dealer, investment advisory, insurance, and banking compliance and has robust experience in Compliance and Operational roles.

His career includes being Director of Compliance at Webster Investments, which is an LPL Financial institution program located at Webster Bank; Operations Manager with Capital One Investing and several Compliance roles with Commonwealth Financial Network.

Doug is a CERTIFIED FINANCIAL PLANNER™ professional with FINRA Series 4, 7, 24, 52, 53, 63, 65 & NYS Life and Health Insurance licenses.

Growing up on Long Island, Doug returned to his roots when joining Vanderbilt and currently resides in Sayville. His hobbies include golf, flag football, distance running, hiking, skiing and any other reason to be outside! He is also involved with charities, including leading Vanderbilt’s Cycle for Survival team for Memorial Sloane Kettering Cancer Hospital and running long-distance races on behalf of St. Jude’s Children’s Research Hospital.

Doug’s Strengths are Analytical, Responsibility, Context, Individualization and Learner.



THERESA DEADY
Director of Advisor Relationships & Onboarding

Theresa has worked in the Financial Services Industry for 20+ years and brings expertise in relationship building and operations. She has her FINRA Series 7, 24, 63, and her NYS Insurance License including Variable Life and Variable Annuities. Her prior experience in the independent broker dealer and advisory space come from her role at Summit Financial Wealth Advisors, an OSJ of Cetera Financial Group. Theresa has managed large groups and has supported many advisors. As a growing firm, Theresa’s extensive expertise will help in supporting our advisors and providing a cutting-edge onboarding process.

In her spare time, you can find Theresa with her 6 grandchildren aged 5 months to 7 years. They light up her life and keep her busy. She also enjoys her Peloton, playing golf and tennis, biking, walking, reading, and spending time with good people.

Theresa’s Strengths are Relator, Responsibility, Arranger, Achiever and Restorative.



STEVE HOWE
Director of Operations

Steve Howe joined VFG in 2018 as the Firm’s Onboarding Manager and assumed the role of Director of Operations in January 2022. Steve is responsible for managing the day-to-day of the Operations Department and ensuring the highest level of customer service for our Advisors.

Steve’s prior experience as the Firm CCO & Onboarding Manager make him a natural fit to lead the day-to-day of the Operations Department with his diverse background within the industry. He brings a passion for supporting advisors and their practice, while always looking to improve processes and the end user experience.

As a well-seasoned financial services professional, Steve possesses an innate ability to oversee back-office operations, manage custodial processes, and champion client-advisor relationships. Steve brings to Vanderbilt an extensive background working with independent Registered Investment Advisors (RIA), Broker Dealers (BD), Qualified Plan/TPA, Insurance, and Corporate Trust services. Steve is knowledgeable with securities data aggregation, financial planning, and customer relationship management (CRM) systems and technologies. Previously, he was the Director of Operations and Compliance at 3-Dimensional Wealth Advisory. Steve holds a Bachelor’s degree from The University of Vermont and a Master’s degree from Boston University.

In his personal life, Steve enjoys spending time with his family and can often be found on the sidelines watching his boys play lacrosse, soccer, and basketball. When not on the field, Steve and his family can be found traveling, on their boat, or simply enjoying the outdoors.

Steve’s KOLBE A™ INDEX is 7724, which measures the instinctive ways you take action when you strive.

His Strengths are Maximizer, Achiever, Responsibility, Relator and Focus.

WHO WE SERVE

Vanderbilt is dedicated to serving the needs of advisors of all sizes and business structures. Whether you're an IAR, a Breakaway Advisor, or an Independent BD Advisor, our compliance, technology, and investment solutions can be tailored to fit the needs of your business.

INDEPENDENT RIA FIRMS

Vanderbilt has the tools and expertise to help your firm focus on growing your business and developing deep relationships with your clients. We offer up-to-date compliance, a comprehensive technology stack, and back office operations support that rivals the larger firms. Our transition team has supported advisory firms and Offices of Supervisory Jurisdiction (OSJs) ranging in size from 1 to 20 advisors.

ENTREPRENEURIAL ADVISORS

Breaking away from a larger firm or wirehouse can be a daunting process. Vanderbilt is dedicated to streamlining your transition and providing the resources needed to independently grow your business while continuing to provide your clients with a world-class experience. Take the Vanderbilt name or develop your own brand. Either way we're here to help you scale and grow as an entrepreneur and a person.

INDEPENDENT BD ADVISORS

We understand the pain points many independent advisors face and have created systematic processes that eliminate common inconveniences to help your business run more efficiently. We do this while keeping our advisors front and center, providing a world-class level of service with a "family office" feel. We are dedicated to providing an entrepreneurial platform that helps you build, service, and market your book of business on your own terms. You can choose from our leading-edge technology solutions and enjoy a supportive operational and compliance structure where we place your needs first.

Vanderbilt prides itself on being innovative and agile. We work in collaboration with our advisors in a partnership aimed at improving the client experience.



OUR TRANSITION PROCESS

Making a move is a big undertaking – that's why we've created an electronic transition process that makes it quick, easy, and environmentally-friendly.

Our customized, thorough, and highly specialized process ensures the highest level of customer service throughout your onboarding process to create a smooth, seamless, and comfortable experience. We pride ourselves on providing world-class service with a family office feel.

Each month, we limit the number of new advisors we add to the team to ensure you receive the highest level of individual care and attention. Each new advisor is assigned an onboarding manager who plans and organizes your entire transition, allowing you more time to meet with your clients to discuss the account transfer process in a timely and stress-free fashion.



"Coming to Vanderbilt from a major wirehouse has been a breath of fresh air for me. The back office is extremely supportive and a great asset for my practice. The technology VFG uses gave me the ability to transfer over 100% of my book in a matter of weeks."

- Kerim Tulun CFP®, Transitioned in 2018, formerly of UBS

ELECTRONIC TRANSITIONS WITH NEW TECHNOLOGY

Skip the wait! We offer 100% paperless transitions to help save you time, energy, and headaches. By utilizing Docupace and DocuSign technology, we can provide a completely paperless transition process that reduces the turnaround time for account transfers, allowing clients to complete all paperwork through the convenience of a secure email.

WHAT'S INCLUDED:

- Dedicated Transition Manager
- Individual training and support on Docupace & DocuSign platforms
- Electronically pre-populated documents
- Signature prompts to ensure forms are submitted
- Daily and/or weekly transition updates
- Oversight of all transition documents processed & submitted by the transition team
- Supplies, postage, and support for any non-electronic documents
- Timely follow up with product companies for quick turnaround
- Comfort in knowing you have Vanderbilt on your side!

IN-HOUSE SERVICES

At Vanderbilt, we offer a variety of investment services in addition to those offered through Fidelity Clearing and Custody.

Equity Desk: Our equity execution services group has over 80 years of collective trading and execution experience. They currently “work” equity and option orders to provide the highest quality of service to our registered representatives.

Fixed Income Desk: Our Bond Department specialists draw on 60 years of combined experience and knowledge. They support registered representatives with a determined allocation into fixed income alternatives. They serve as a conduit for information, alternatives and suggestions with CD’s, Treasuries, Agency, Corporate & Municipal Bonds.

Options: Vanderbilt Financial Group leverages the Fidelity Capital Markets Options trading desk for large option orders or complex option strategies.

RESEARCH AND INSIGHTS

Vanderbilt provides an in-house research and analysis to help guide your investment decisions.

Sector Strategies: The Sector Department offers unique and exclusive investment strategies to Vanderbilt Financial Group advisors. Sectors of the market are identified by their value, upside potential, competitive yield, and beta. Whether you’re looking to gain a performance edge, or simply want to diversify your client’s portfolio, our sector/sub-sector strategies can help identify and capitalize on undervalued assets that may offer higher upside potential.

PRODUCTS & OFFERINGS

We offer most leading products and services, such as the examples below, and can often get a selling agreement with others based upon the needs of our advisors and clients.

Impact Investments

Variable Annuities

Mutual Funds & ETFs

Alternative Investments

VANDERBILT INSURANCE

Consultative, Unbiased Solutions: Our insurance consulting team recognizes the unique distinctions amongst the advisors we proudly support. As such, our relationship with you starts with a deep discovery of your practice and the method and manner in which you serve your clients. We deliver efficient insurance solutions on your behalf to help you elevate your client’s experience and offer more complete planning:

- Life Insurance
- Disability Income Insurance
- Fixed, Deferred & Income Annuities
- Life Settlements
- Long-Term Care Insurance & Hybrid Products

IN-HOUSE CHIEF ECONOMIST

Ted Hirsch joined Vanderbilt in 2020, as Chief Economist. With an extensive background in mathematics and statistics, Ted brings over a decade of experience in financial markets in day trading, designing and managing portfolios, and providing market and economic analysis for Financial Advisors. Academically, Ted studied at the prestigious Maharishi International University – earning the title of Class Valedictorian for his BS in Mathematics and later graduating with an MBA specializing in quality management and statistical process control.

Prior to joining Vanderbilt, Ted held the role of Chief Investment Officer of a Registered Investment Advisory (RIA) in Alamo, California. Over the past 8 years, his strategic work within the Firm helped fuel the growth of their Advisors through constructing model portfolios, fund research and selection, economic research, and market commentary and analysis.

As Chief Economist for Vanderbilt, Ted performs multiple functions within the Firm’s Research Department. Acting in a capacity of portfolio manager, he creates and manages model portfolios for both traditional and ESG Advisors designed to maximize risk adjusted returns and employ a market hedging strategy to limit downside risk. Additionally, Ted manages and leads the creation of Vanderbilt’s own proprietary ESG ETF and mutual fund models that launched in March, 2022.

“I am proud to be part of the exceptional team at Vanderbilt Financial Group. As Chief Economist, I work to provide the tools, resources and market commentary Advisors need to navigate today’s marketplace and help provide exceptional value to them and their clients.”

Ted has been passionate about sports from an early age – especially those with a heavy statistical or mathematical component such as golf and baseball. He currently lives in Germany with his son Lukas, whom he coaches in T-ball.





BROKERAGE CLEARING AND CUSTODY



Vanderbilt Financial Group utilizes Fidelity Clearing and Custody on a fully-disclosed basis to act as custodian of your securities and cash accounts in

addition to executing and clearing trades through the exchange floors and Electronic Communication Networks (ECN's). In essence, the clearing firm acts as our intermediary when providing financial services for all types of private and institutional clients.

Fidelity Clearing and Custody is a wholly owned subsidiary of Fidelity Investments and offers a variety of products.

Wealthscape is Fidelity's workstation designed to drive growth, create efficiency, and manage risk through one-click access to:

- Research
- Market Data
- Business Building Tools
- Managed Account Solutions
- Remote Check Deposit for Clients and Advisors

MULTI CUSTODIAL ADVISORY PLATFORMS



Vanderbilt Financial Group utilizes Fidelity InstitutionalSM which offers clearing and custody services, investment and technology products

and solutions, brokerage and trading services, and a range of insights, expertise, and world-class client experience to financial intermediary firms and institutions. Fidelity Investments is a leading provider of investment management, retirement planning, portfolio guidance, brokerage, benefits outsourcing, and other financial products and services to institutions, financial intermediaries, and individuals.

Fidelity InstitutionalSM provides clearing, custody, or other brokerage services through National Financial Services LLC or Fidelity Brokerage Services LLC, Members NYSE, SIPC.



TD AMERITRADE Institutional

Vanderbilt Financial Group utilizes TD Ameritrade Institutional on a fully-disclosed basis to act as a platform to help streamline your business. TD offers many services to help move your business forward, including: Support from Strategy and Block Trading Desks, ETF's through Veo One, Model Market Calendars, Business Performance Solutions, and Retirement Solutions. TD is the only custodian with a senior executive focused on Advisor Advocacy.

charles SCHWAB

Vanderbilt Financial Group utilizes Charles Schwab which offers brokerage and investment advisory services. Schwab includes services from: Charles Schwab Investment Management (CSIM), Charles Schwab Investment Advisory (CSIA), and Schwab Private Client Investment Advisory (SPCIA). CS also offers a wide range of investment products with no account minimums for most domestic accounts. Their offerings include both affiliated products that are managed by Schwab and unaffiliated investment products that are managed by independent third parties.

THIRD PARTY MONEY MANAGERS



Investnet is a leading provider of integrated portfolio, practice management and reporting solutions to financial advisors and institutions. Their open architecture platform encompasses a broad range of institutional quality research, investment products, and advisory resources. Investnet has access to over 400 third party money managers offered through National Financial Managed Account Solutions.



Nasdaq Dorsey Wright is a registered investment advisory firm with expertise in technical analysis. They use Point and Figure charting, Relative Strength Analysis, and numerous other tools to analyze market data and deliver actionable insights. Their goal is to truly learn the craft of investing to provide a clear and effective strategy based on time-tested principles.

OUR TECHNOLOGY PLATFORMS

From client demands to increasing regulation, advisors face many challenges. Vanderbilt delivers innovative technology to solve your toughest challenges, drive informed decisions, and empower your success. Leveraging a comprehensive suite of applications with the support of our In-House IT Department, you're able to maintain existing business, open new accounts, and actively monitor portfolios to enhance your client's experiences.



Docupace Technologies, along with the DocuSign® platform, provides financial advisors with an easy to use processing tool for submitting business electronically. Entirely Paperless, Entirely Secure, Entirely Compliant.

What We Love Most:

- Reduces "Not In Good Order" (NIGO) rates
- Eliminates bottlenecks & errors
- Increases workflow efficiency & submission turnaround
- Gold standard in financial services
- Up-to-the-minute updates on document status
- Makes collaboration easy
- Reduces need for paper document storage
- Electronic filing cabinet

DocuSign™ DocuSign™ is an electronic signature application that enables you to send, sign, and approve documents, materials, and transactions on the go. You can use any device anywhere at any time. This revolutionary platform is now the standard of electronic signature in the business world.

- Faster business
- Better efficiency
- Sign from anywhere
- Highly secure
- Lawful and court-admissible

ALBRIDGE™ Albridge Wealth Reporting is an award-winning, innovative solution that allows advisors to present a complete, consolidated view of client assets.

- Consolidate client info from multiple custodians & financial providers
- Configure client reports on-demand: asset allocation, holdings, benchmarking, cost basis, & more
- Leverage a single source of data: connect to critical business apps such as customer relationship managers (CRMs)
- Calculate performance using either dollar-weighted or time-weighted returns



MSCI strives to bring greater transparency to financial markets and enable the investment community to make better decisions for a better world.

How MSCI Improves Impact Investing Workflow:

- Provide insights into ESG risks and opportunities within multi-asset class portfolios
- Monitor companies over time to assess ESG investment risks & opportunities
- Identify companies involved in controversies or events that may negatively impact stakeholders or the environment
- Provides ESG Research for 650,000 equity and fixed income securities globally
- Offers critical transparency necessary to understand, measure and report on the ESG characteristics of more than 32,000 mutual funds and ETFs



From client relationships to compliance, reporting to rebalancing, the world of wealth management is complex and demanding.

The Black Diamond® Wealth Platform frees you to devote the time you need to guide your clients through their complete wealth journey. Intuitive dashboards, robust functionality, smart integrations, and exceptional service make it easy to deliver a sophisticated, modern client experience.

SUPPORT SERVICES

BACK OFFICE SUPPORT

Our experienced and hardworking team of professionals provide customized back office support for each advisor including assistance with day-to-day business processing, sales, and operational support. Our team aids in speeding up processes that can be tedious, long, and bureaucratic at larger firms so that you can focus on what's really important – growing your business.

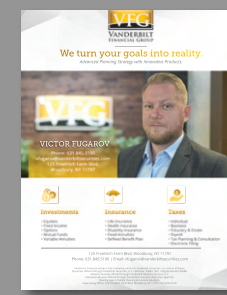
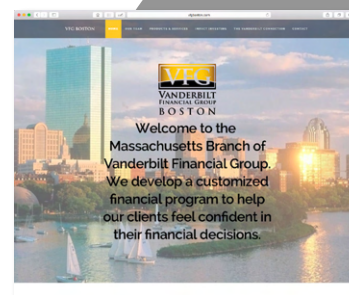
PRACTICE DEVELOPMENT & COLLABORATIVE GROUPS

Practice Management & Tools/Business Builder meetings are a collaborative network of advisors facilitated by our Director of Sales. What started as a few discussions among colleagues became a community where ideas, struggles, solutions, strategies, and successes are discussed. We are dedicated to providing the tools, resources and connections to build a strong, sustainable, and successful business.

- Market Commentary and Update Calls
- Practice Management Tools Meetings
- Impact Focused Group
- Firm Wide Town Hall Meetings
- Women of Vanderbilt Meetings
- Impact Advisors Group
- Platform training sessions

MARKETING PLANS AND IN-HOUSE GRAPHIC DESIGN

We provide you with customizable marketing plans from our library of pre-approved materials. Our marketing team can assist in setting up your marketing calendar for a full year to minimize your heavy lifting and focus on the success of your practice. With our In-House Graphic Design team, we can provide compliance approved marketing materials, images and graphics to enhance your personal brand or business and our creative team offers high-level customization to ensure your website, business cards or brochures make you look professional.



A LEADER IN IMPACT INVESTING

What does sustainable mean to us? A sustainable business is one that has minimal negative impact on the local or global environment, community, society, or economy.

A sustainable business focuses on a triple bottom line: people, planet, profit. At Vanderbilt, we incorporate principles of sustainability into each of our business decisions.

WHAT IS IMPACT INVESTING?

Impact Investments cover a wider scope than Socially Responsible Investing, and may be made in either emerging or developed markets.

Impact Investing refers to investments made with the conscious intent to generate a measurable positive impact alongside a traditional financial return. Impact Investing also goes by a few other names like ESG (Environmental, Social, Governance) or SRI (Socially Responsible Investing).

In order to be considered an impact investment, the investment must make a positive social, environmental or governance impact that would not have otherwise been possible without the investment.

THE FUTURE OF YOUR BUSINESS

We believe Impact Investing is not a fad – it’s the future. The imminent wealth transfer from baby boomers to millennials will change our entire economy making it of the utmost importance to prepare your business for this new demographic. Millennials are passionate about leaving the world better off than when they found it and choose impactful products over products that create no positive benefit. Women echo this sentiment as well and will inherit the overwhelming majority of wealth over the next two generations.

Adopting Impact Investing into your practice will help you to deepen your relationships with your clients through learning their passions and teaching them how they can do good with their money through values aligned investing. These conversations lead to a more personal connection with clients and their descendants which can yield referrals. Finally, impact investing postures your practice as a sustainable business, ready to take on the next generations.

Vanderbilt is proud to be an ambassador of the following organizations:



MORE THAN A FIRM, WE'RE A FAMILY

Our focus on impact extends beyond the workplace and into our personal lives. Vanderbilt encourages and supports team members who are passionate about having a local impact in their communities. As a company, we give volunteer time and contributions to many Long Island-based non-profit organizations committed to improving the local issues that affect our home, including:

- The John Brower Jr. Foundation was founded by Vanderbilt advisor John Brower, along with his wife Jody, in memory of their son John who lost his life to the opiate epidemic that plagues many local communities across America. The Foundation aspires to become a premier provider of education and assistance in preventing additional lives from being lost.
- The Interfaith Nutrition Network provides essential services to Long Islanders challenged by hunger, homelessness, and profound poverty.
- Leukemia & Lymphoma Society is at the forefront of the fight to cure cancer through funding extensive research pioneering many of today's most innovative medical approaches.



SUSTAINABILITY IS AT THE HEART OF VANDERBILT

Integrating wealth management designed to impact the future, Vanderbilt Financial Group maintains a focus on impact investing, and our organizational goals are aligned with the intention to bring about positive social or environmental change through our business and investments. We are the only environmentally sustainable Broker Dealer and RIA in the industry today and are committed to being a responsible business in the world, similar to the unwavering commitment we have made to our advisors and our staff.

What does sustainable mean to us? A sustainable business is one that has minimal negative impact on the local or global environment, community, society, or economy. A sustainable business focuses on a triple bottom line: people, planet, profit. At Vanderbilt, we incorporate principles of sustainability into each of our business decisions.

How we took it a step further at HQ. In September of 2015, Vanderbilt Financial Group did a complete eco-friendly renovation to our Headquarters and was awarded the prestigious LEED Platinum Certification, making it Long Island's first LEED Platinum office building. This certification sets an example of environmental responsibility for the entire community to emulate.

Reducing our energy consumption and waste. Our utilities and business overhead has dramatically reduced our energy consumption and waste production due to our adoption of new technology. Through the 295 solar panel array located on our white roof, we typically generate 115 MWH annually which covers an average of 95.3% of our energy usage. Our state-of-the-art HVAC system promotes fresh air exchange to purify the air while reducing energy usage by 50%.

Embracing technology to reduce environmental impact: In addition to our energy efficient and state-of-the-art LEED Certified Platinum Headquarters, embracing technology has allowed Vanderbilt to go paperless for client accounts firm-wide, resulting in saving 26,558 lbs of wood, 71,122 gallons of water, 3,922 lbs of paper waste, and further reducing our carbon footprint by 59,822 lbs of CO2 via technology platform DocuSign®.



A COMMON LANGUAGE: VANDERBILT AND THE SUSTAINABLE DEVELOPMENT GOALS

In September 2015, Heads of State and Government at the United Nations agreed to set the world on a path towards sustainable development through the adoption of the 2030 Agenda for Sustainable Development. This agenda includes 17 Sustainable Development Goals (SDGs), which set out 169 quantitative targets across the social, economic, and environmental dimensions of sustainable development – all to be achieved by 2030.

These Global Goals provide a framework for shared action “for people, planet and prosperity,” to be implemented by “all countries and all stakeholders, acting in collaborative partnership.” At Vanderbilt, we see the SDGs as an opportunity for advisors to engage in meaningful

conversations with your clients about their core values and the impact their investments can have in the world.

There are many resources, tools, and products that Vanderbilt offers to help your clients achieve their long-term financial goals while allowing their investments to have a positive impact in the world amongst the SDG categories they care about the most. Environmental, Social, and Governance (ESG) screenings often provide an enhanced and individual view to the financial fundamentals applied to most investments in a client's portfolio. Wherever you are in your impact journey, we'd be happy to work with you on building out the common language we can all use to make better investments.



- Goal 1:** End poverty in all its forms everywhere
- Goal 2:** End hunger, achieve food security and improved nutrition and promote sustainable agriculture
- Goal 3:** Ensure healthy lives and promote well-being for all at all ages
- Goal 4:** Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all
- Goal 5:** Achieve gender equality and empower all women and girls
- Goal 6:** Ensure availability and sustainable management of water and sanitation for all
- Goal 7:** Ensure access to affordable, reliable, sustainable and modern energy for all
- Goal 8:** Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all
- Goal 9:** Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation
- Goal 10:** Reduce inequality within and among countries
- Goal 11:** Make cities and human settlements inclusive, safe, resilient and sustainable
- Goal 12:** Ensure sustainable consumption and production patterns
- Goal 13:** Take urgent action to combat climate change and its impacts
- Goal 14:** Conserve and sustainably use the oceans, seas and marine resources for sustainable development
- Goal 15:** Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss
- Goal 16:** Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels
- Goal 17:** Strengthen the means of implementation and revitalize the global partnership for sustainable development

WHAT OUR ADVISORS SAY ABOUT US



TOP 10 BROKER DEALERS 2023

By Jeff Rodriguez



AL MOORE JR.

OWNER
AL MOORE FINANCIAL

When I decided I wanted to go independent, it was important to partner with a firm that had a deeper incentive beyond just revenue. I wanted to partner with a firm that cared about their advisors on a personal level and wanted to invest in their advisors to run the type of practice they could be proud of. Vanderbilt stood out in a sea of Broker Dealers with their sincerity and consistent level of professionalism; plus their focused attention to the vision I had for my business and how they could help me get there.



JEFFERY J. BROWN, CPA, AIF®

CERTIFIED FINANCIAL PLANNER™
BROWN ADVISORY GROUP, LLC

I found the management team of Vanderbilt Securities to be uncommonly flexible and accommodative in meeting the unique business needs of my advisory firm and the investment needs of my clients. Combined with the firm's own entrepreneurial spirit and sincerity of its local owners and management team, there really wasn't another broker/dealer that provided anywhere close to the level of confidence and inspiration that I similarly seek to provide to prospective clients of my firm.



JOSHUA J. HATTIG, CFP®

PRESIDENT
HATTIG FINANCIAL COMPANY

We are in the business of caring for people. The personal relationship we have with each and every client has been, and will always be, our top priority. Serving our clients as the very best financial services organization we can requires looking ahead, and partnering with an organization that is committed to the same. We believe Vanderbilt Financial Group shares our passion for providing world class service, while remaining a family-driven business.



ANDREA STEINER

FOUNDER
SEQUOIA WEALTH & RISK MANAGEMENT

I am delighted to join a firm with an unwavering reputation it has and continues earning daily with its Advisors and their clients for strong ethics and integrity along with its supportive feel/environment of being family rather than merely a business.



ERIC HU

PRESIDENT
GRYPHON ASSET MANAGEMENT

I came to Vanderbilt looking for a firm that had all of the capabilities and services that other large independent firms offer but are nimble and agile enough to move quickly on the issues I need help with. So far, I have been very pleased with the decision.



JENNEFER WALSH, CFP®

OWNER
WALSH FINANCIAL SOLUTIONS

I joined Vanderbilt because of the services that they provide to independent financial advisors and I really appreciated the open architecture business model. I felt like a part of the team even before I made my final decision to join Vanderbilt and the Firm was extremely supportive during my transition.

Choosing the right broker-dealer and RIA Firm is a critical decision for every independent financial advisor. Broker-dealers that are committed to a financial advisor's vision for the future will equip them with robust technology and support to streamline operations and improve bottom lines.

Vanderbilt Financial Group is making this a reality by keeping financial advisors at its heart.

With Collaboration, Ingenuity, and Impact, Vanderbilt Financial Group is disrupting traditional finance by focusing on socially and environmentally responsible, ethical, and impactful investments. It is driven by a passionate, vibrant, and entrepreneurial vision to provide advisor independence for better outcomes.

A Culture Steeped in Excellence

The commitment to providing financial advisors and their clients with greater access to values-aligned investments is driven by its company culture centered on shared values—gratitude, respect, innovation, teamwork, and trustworthiness (GRITT). Ensuring a “family office” feel for its employees, Vanderbilt creates a supportive work environment that promotes organizational success.

GRITT infuses an entrepreneurial spirit in the workplace, equipping Vanderbilt to inspire and celebrate innovative ways of doing business that empowers advisors and employees.

“The core values of GRITT, coupled with purpose, passion, and partnership, enable us to educate our advisors to stay relevant in the market. Whether an advisor is looking for specific ESG or SRI products or traditional solutions, we have the right tools and platforms to ensure a thriving practice for them,” says Joseph Trifiletti, president of Vanderbilt Financial Group.

Making a Mark with Winning Solutions

Vanderbilt delivers its world-class service to a large base of independent financial and investment advisors. The team takes a personalized approach while catering to advisors by learning about their goals and priorities. It offers mentoring and education through a shared assistance program designed to help advisors operate at the cutting edge. When advisors subscribe to the program, they are instantly mapped to a personal assistant who provides business consulting and training sessions.

“It all boils down to flexibility. We offer tailored, white-glove services and build long-standing relationships with advisors,” says Trifiletti.

Vanderbilt's services are backed by a suite of technology offerings, including CRM systems, portfolio solutions, and other essential resources that allow advisors to operate efficiently.

With a finger on the pulse of technology advancements, Vanderbilt Financial Group leverages industry-leading platforms like Wealthscape and Docupace, a suite of paperless tools designed for wealth management operations. It also follows the paperless approach to documentation and account maintenance requests while serving its remote and field advisors across the U.S.

What differentiates Vanderbilt is its community of advisors who are focused on impact investing and have access to Morgan Stanley Capital International (MSCI)

research. The group meets monthly to collaborate and share ideas on impact investments and ensuring financial sustainability.

By creating an environment for cross-collaboration, Vanderbilt also helps women's focus groups and other like-minded people exchange thoughts and views that facilitate better business outcomes. Holding weekly town hall meetings, they discuss practice management ideas, including business development and product spotlights, with its advisors across the U.S. Through Vanderbilt Financials' open-door policy, each advisor has access to its top management and executive team.

Driving Advisor Success

The recent consolidation in the industry has turned out to be an opportunity for Vanderbilt. Many advisors, who were formerly associated with merged companies, are joining their team. A midsize firm like Vanderbilt Financial Group is a sweet spot for seasoned advisors, enabling them to equip investors with advanced technologies used in larger organizations while still being able to maintain interpersonal relationships.

Providing a supportive environment that matches advisors' personal culture, goals, and cost requirements, they eliminate the heavy-handed compliance procedures that most firms follow and check all the boxes that drive convenience and efficiency for advisors. Using its tech suite, Vanderbilt onboards new advisors via a simple, 90-day process, which is overseen by a dedicated manager, who advises them via phone calls or one-on-one training sessions whenever the need arises.

The onboarding manager can hold weekly meetings with advisors, providing insights that ensure a seamless experience and successful business outcomes. Through a systematic process, the team tracks the assets moving over to the firm, and resolves any bottlenecks. Vanderbilt helps advisors navigate the world of investments and adds value to their practice through its advisory council.

Clearing through multiple custodians, including Fidelity Clearing & Custody Solutions and Charles Schwab, they also have in-house chief economist, bond and equity desks, a research and insights team, and insurance agency.

Powering the Success of Financial Advisors

Focused on sustainable growth, Vanderbilt Financial Group associates with advisors that both meet and appreciate its core values of GRITT. It recently closed the acquisition of a leading broker-dealer firm, ARK Global. ARK brings third-party marketing for private placements and other new capabilities.

On the technology front, Vanderbilt is continually investing in enhancing its platform and incorporating artificial intelligence in the areas of business processing and suitability review. With offices in 35 states, it provides services from its headquarters in Woodbury, New York, and foresees expanding its footprint nationwide.

Vanderbilt Financial Group enables advisors to grow their business on their own terms and empowers their ability to truly hone their craft. With a passionate, vibrant, and entrepreneurial vision, **they continue to build on a rich legacy of serving independent advisors.**

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JOIN OUR AWARD WINNING TEAM



Best Places to Work Five Years Running 2018, 2019, 2020, 2022 & 2022:

Established over ten years ago by Long Island Business News, this distinctive award program extensively researches, evaluates, and ranks the best places of employment based on an employee satisfaction and engagement survey along with a comprehensive review of workplace policies and procedures. Vanderbilt's commitment to our people and the planet was a shining factor in receiving this title.



Financial Services Review:

Financial Services Review's Top Broker-Dealer list is their annual listing of 10 companies that are at the forefront of providing Broker-Dealers solutions and impacting the marketplace.



Inclusive Workplace:

The Inclusive Workplace Program recognizes companies that create a workplace where people feel heard, seen, and like they belong.



Top Independent Broker Dealers:

Vanderbilt was recognized as a Top Independent Broker-Dealer for 2022 by Investment News. We are so thankful for all the hard work our Advisors and Team have put in that has led to our growth over the past few years.



Albrige Data Excellence Award:

The Albrige Data Excellence Awards honor and celebrate the achievements of clients, partners, data providers and product companies to help tackle the current data challenges facing our industry and create a better financial services experience.

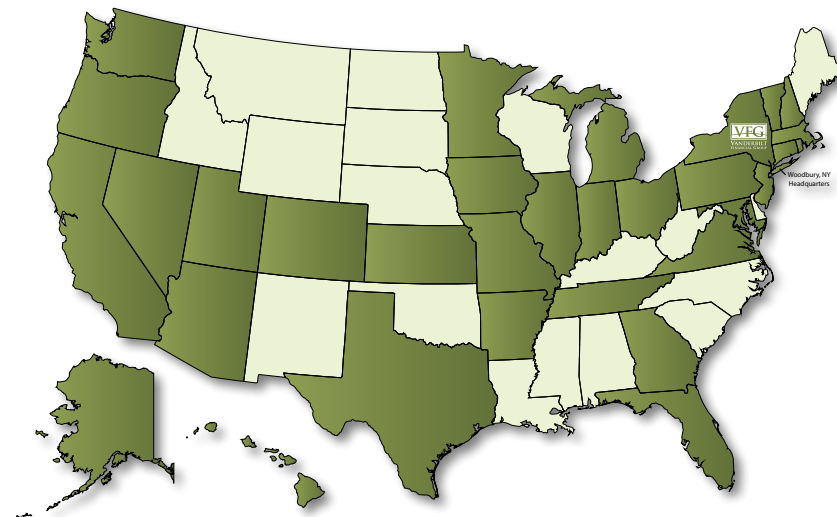


LEED Platinum:

LEED-certified buildings are resource efficient. They use less water and energy and reduce greenhouse gas emissions. Projects pursuing LEED certification earn points across several areas that address sustainability issues, and achieve one of four levels, Platinum being the highest.

VFG FROM COAST TO COAST

We currently have advisors in 32 states and adding new locations every year. Contact our President Joe Trifiletti at jtrifiletti@vanderbiltsecurities.com to find out how you can join our growing firm.



**As of April 2023*


With our entirely paperless web-based platform, distance is no longer an issue. We offer a 100% remote option where you can join our meetings, business builders groups, and training workshops remotely.

JOIN THE CONVERSATION

@VANDERBILT FINANCIAL GROUP



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Thank you for taking the time to learn more about
Vanderbilt Financial Group. We look forward to learning
more about you and how Vanderbilt can add value to your
business and life.

Vanderbilt Financial Group follows all civil rights laws. We do not treat people
unfairly because of a person's: Age, Color, Race, National Origin, Religion,
Disability, Sex, Marital Status, Gender Identity, or Sexual Orientation.

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