IAPD Report

SCOTT WILLIAM YANKER

CRD# 1255764

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

SCOTT WILLIAM YANKER (CRD# 1255764)

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 **03/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	11/18/2003
IA	THE YANKER GROUP	CRD# 281364	01/04/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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	LPL FINANCIAL LLC	6413	BALLWIN, MO	11/18/2003 - 10/06/2020
IA	VERAVEST INVESTMENT ADVISORS, INC.	105796	CREVE COEUR, MO	10/31/1995 - 12/18/2003
B	VERAVEST INVESTMENTS, INC.	3960	WORCESTER, MA	05/01/1984 - 11/19/2003

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

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

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/18/2003
B	FINRA	Invest. Co and Variable Contracts	Approved	11/18/2003
B	FINRA	General Securities Principal	Approved	01/14/2004
B	Alabama	Agent	Approved	07/27/2007
B	Arizona	Agent	Approved	05/26/2005
B	Arkansas	Agent	Approved	12/23/2008
B	California	Agent	Approved	06/30/2004
B	Colorado	Agent	Approved	05/14/2019
B	Florida	Agent	Approved	10/18/2012
B	Georgia	Agent	Approved	02/07/2023
B	Illinois	Agent	Approved	11/21/2003
B	Kansas	Agent	Approved	11/21/2003
B	Kentucky	Agent	Approved	11/14/2022

Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	01/07/2022
B	Massachusetts	Agent	Approved	01/23/2007
B	Michigan	Agent	Approved	11/21/2003
B	Minnesota	Agent	Approved	01/03/2013
B	Mississippi	Agent	Approved	11/14/2022
B	Missouri	Agent	Approved	11/18/2003
B	Nevada	Agent	Approved	01/02/2020
B	New Mexico	Agent	Approved	09/04/2018
B	Ohio	Agent	Approved	06/20/2014
B	Oklahoma	Agent	Approved	05/25/2006
B	Oregon	Agent	Approved	11/21/2003
B	South Carolina	Agent	Approved	08/22/2024
B	South Dakota	Agent	Approved	09/15/2014
B	Tennessee	Agent	Approved	12/08/2009
B	Texas	Agent	Approved	01/10/2011
B	Virginia	Agent	Approved	05/17/2016
B	Wisconsin	Agent	Approved	06/18/2015

Branch Office Locations

LPL FINANCIAL LLC
13611 BARRETT OFFICE DR #100

Qualifications

MANCHESTER, MO 63021

Employment 2 of 2

Firm Name: **THE YANKER GROUP**

Main Address: 13611 BARRETT OFFICE DR., STE. 100
MANCHESTER, MO 63021

Firm ID#: 281364

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	01/04/2016
IA	Missouri	Investment Adviser Representative	Approved	02/10/2016

Branch Office Locations

THE YANKER GROUP
13611 BARRETT OFFICE DR., STE. 100
MANCHESTER, MO 63021

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/13/2004

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	08/28/2008
B	General Securities Representative Examination (S7)	Series 7	06/29/1995
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/10/1984

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/31/1995
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/18/1984

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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
IA	11/18/2003 - 10/06/2020	LPL FINANCIAL LLC	CRD# 6413	BALLWIN, MO
IA	10/31/1995 - 12/18/2003	VERAVEST INVESTMENT ADVISORS, INC.	CRD# 105796	CREVE COEUR, MO
B	05/01/1984 - 11/19/2003	VERAVEST INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA

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
12/2015 - Present	The Yanker Group, Inc.	President / CCO / Investment Adviser Representative	Y	Ballwin, MO, United States
11/2003 - Present	LPL Financial, LLC (Formerly: LINSCO / PRIVATE LEDGER)	Registered Representative	Y	Ballwin, MO, 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. 11/21/2003: No Business Name - Non-Variable Insurance - INV REL - At Reported Business Location(s) - COMMISSION THRU GROUP HEALTH, LIFE AND DENTAL PRODUCTS

2. 12/15/2003: THE YANKER GROUP - WEALTH MANAGEMENT SERVICES - DBA for LPL Business (entity for LPL business) - INV REL - At Reported Business Location(s)

3. 06/16/2006: Curt Center - Real Estate Rental - INV REL - At Reported Business Location(s) - shopping center in Muskogee OK named Curt Center - 2% Time Spent

4. 12/19/2007: Anthem Blue Cross Blue Shield - Non-Variable Insurance - INV REL - At Reported Business Location(s) - I am appointed with Anthem Blue Cross/Blue Shield to sell health insurance. - 1% Time Spent

5. 08/17/2009: No Business Name - Real Estate Rental - INV REL - 13611 Barrett Office Dr. ste. 100 Manchester, MO. 63021 - RENTING AN OFFICE IN OUR NEW OFFICE BUILDING - 1% Time Spent

6. 01/29/2015 - The Yanker Group - DBA for LPL Business (entity for LPL business) - INV REL - At Reported Business Location(s) - Start 12/31/2004 - 40 Hr/Mo; 40 Hours During Securities Trading

7. 07/21/2016: The Yanker Group - Registered Investment Advisor Hybrid - (Hybrid) The Yanker Group - INV REL - At Reported Business Location(s) - Start 02/03/2016 - IAR - Financial planning analysis and projections - 40 Hr/Mo; 8 Hours During Securities

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Trading.

8. 11/18/2020 - Siblings Estates LLC - Not Investment Related - 2301 Lafayette Ave. St. Louis, MO 63104 - Other-Business Owner - Start Date: 3/1/2021 - 0 Hours Per Month/0 Hours During Securities Trading - Rehabbing a property to convert to a bed and breakfast.

9. 2/3/2021 - HLM Hospitality LLC - Investment Related - Home Based & Hermann MO 65041 - Real Estate Rental - Start Date: 03/01/2021 - 5 Hours Per Month/0 Hours During Securities Trading - Bed and breakfast with niece.

10. 03/14/2022- The Fancy Pheasant LLC - Investment Related - Hermann MO 65041 - Other - Passive Investor - Investor - Start Date - 02/01/2022 - 0 Hours Per Month/0 Hours During Securities Trading.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
    - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

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

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

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Customer alleges that an investment made in 2014 was unsuitable for the customer's investment objectives and risk tolerance.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Cannot be determined but over $5,000.00.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	24-00611
Filing date of arbitration/CFTC reparation or civil litigation:	03/18/2024

Customer Complaint Information

Date Complaint Received:	05/02/2024
Complaint Pending?	No
Status:	Withdrawn
Status Date:	05/20/2024
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	The clients were included in a case filed by a number of dissatisfied investors in a health care real estate income trust. The clients made their investment in the real estate income trust nearly a decade ago. The clients invested a total of $25,000, a very small portion of their total liquid assets of $2 million, which was well within LPL's alternative investment limits. The clients had prior experience investing in alternative investments, and understood that, while the investment was not liquid, it was intended to provide diversification from their other investments. While, unfortunately, the investment ultimately did not perform as we had expected, the investment was suitable based on the information that was known at the time of my recommendation. I am pleased that the clients have elected to withdrawal their claims from the case.

End of Report

This page is intentionally left blank.

