



IAPD Report

SCOTT ALAN LUCAS

CRD# 1489956

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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

SCOTT ALAN LUCAS (CRD# 1489956)

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 **12/06/2023**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA INVICTA ADVISORS LLC	CRD# 298868	10/03/2019
B INVICTA CAPITAL LLC	CRD# 288101	10/04/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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 WISDOM WEALTH INVESTMENT ADVISORS LLC	170536	WORTHINGTON, OH	03/28/2014 - 12/31/2019
B PROEQUITIES, INC.	15708	WORTHINGTON, OH	09/23/1998 - 10/16/2019
IA INVESTMENT ADVISORS	15708	WORTHINGTON, OH	08/19/1999 - 09/24/2019

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2



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

Employment 1 of 2

Firm Name: **INVICTA CAPITAL LLC**
Main Address: 527 CEDAR WAY
SUITE 101
OAKMONT, PA 15139
Firm ID#: 288101

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/04/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	10/04/2019
B	California	Agent	Approved	10/04/2019
B	Colorado	Agent	Approved	12/07/2023
B	Connecticut	Agent	Approved	10/17/2019
B	Florida	Agent	Approved	01/02/2020
B	Georgia	Agent	Approved	11/01/2019
B	Indiana	Agent	Approved	11/04/2019
B	Michigan	Agent	Approved	11/01/2019
B	Ohio	Agent	Approved	10/17/2019
B	Pennsylvania	Agent	Approved	10/18/2019
B	Texas	Agent	Approved	10/31/2019
B	Virginia	Agent	Approved	11/04/2019



Qualifications

Regulator	Registration	Status	Date
B West Virginia	Agent	Approved	11/25/2019

Branch Office Locations

947 Worthington Woods Loop Road
Worthington, OH 43085

Employment 2 of 2

Firm Name: **INVICTA ADVISORS LLC**
 Main Address: 527 CEDAR WAY
 SUITE 101
 OAKMONT, PA 15139
 Firm ID#: 298868

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	10/03/2019
IA Pennsylvania	Investment Adviser Representative	Approved	10/03/2019

Branch Office Locations

INVICTA ADVISORS LLC
 947 Worthington Woods Loop Road
 Worthington, OH 43085



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	04/23/2007
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Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/28/1986
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State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	08/26/1987
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PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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	03/28/2014 - 12/31/2019	WISDOM WEALTH INVESTMENT ADVISORS LLC	CRD# 170536	WORTHINGTON, OH
B	09/23/1998 - 10/16/2019	PROEQUITIES, INC.	CRD# 15708	WORTHINGTON, OH
IA	08/19/1999 - 09/24/2019	INVESTMENT ADVISORS	CRD# 15708	WORTHINGTON, OH
B	04/29/1986 - 09/30/1998	BMA FINANCIAL SERVICES, INC.	CRD# 7943	KANSAS CITY, MO

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
10/2019 - Present	Invicta Advisors	Investment Advisor	Y	Monroeville, PA, United States
10/2019 - Present	Invicta Capital	Registered Representative	Y	Monroeville, PA, United States
03/2003 - Present	LUCAS FINANCIAL SERVICE, INC.,	OWNER	N	WORTHINGTON, OH, United States
01/2014 - 10/2019	WISDOM WEALTH INVESTMENT ADVISORS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	WORTHINGTON, OH, United States
09/1998 - 09/2019	PROEQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WORTHINGTON, OH, 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.

DBA AND INSURANCE: LUCAS FINANCIAL SERVICES, INC.; INVESTMENT RELATED; 947 WORTHINGTON WOODS LOOP DRIVE WORTHINGTON OH 43085; FINANCIAL SERVICES; FIXED INSURANCE SALES; OWNER/PRESIDENT; STARTED 05/01/1985; NO NUMBER OF HOURS: 160 INVESTMENT RELATED HOURS: 40

NITEMAGIC /THE RENAISSANCE

POSITION: PLANNER/HOST NATURE: NEW YEARS EVE PARTY INVESTMENT RELATED: NO NUMBER OF HOURS: 25 INVESTMENT RELATED HOURS: 0 START DATE: 11/01/2013 ADDRESS: 50 N THIRD ST, COLUMBUS OH 43215 DESCRIPTION: WE PLAN, ORGANIZE, HOST AND SELL TICKETS TO THE EVENT. IT IS MARKETED THROUGH FREE LOCAL



Registration & Employment History



OTHER BUSINESS ACTIVITIES

PR AND A WEBSITE WWW.NEWEARSEVEPARTYCOLUMBUS.COM

IT IS NOT A CLIENT EVENT OR A LUCAS FINANCIAL EVENT. THERE ARE PEOPLE THERE THAT ARE GOOD FRIENDS THAT ALSO HAPPEN TO BE CLIENTS. THEY MAKE UP A VERY SMALL NUMBER OF THE ROUGHLY 1300 PERSON CROWD.

THIS ONLY HAPPENS OVER THE LAST 6 WEEKS OF THE YEAR AND I PROBABLY HAVE 20-30 HOURS IN IT. NET IS PROBABLY ABOUT \$15,000 FOR THE EVENT.

Invicta Advisors

POSITION: IAR NATURE: RIA INVESTMENT RELATED: YES NUMBER OF HOURS: 120 INVESTMENT RELATED HOURS: 30

START DATE: 01/17/2014

ADDRESS: 947 WORTHINGTON WOODS LOOP RD, WORTHINGTON OH 43085

WISDOM TAX GROUP, LLC

POSITION: Owner NATURE: Tax prep, accounting, advice INVESTMENT RELATED: No NUMBER OF HOURS: 12 SECURITIES

TRADING HOURS: 2 START DATE: 12/07/2018

ADDRESS: 947 Worthington Woods Loop Rd, Worthington OH 43085, United States

DESCRIPTION: This is a Happy Tax Franchise. I would be a franchisee owner and market tax services to be prepared by a licensed CPA



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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ProEquities, Inc
Allegations:	CLAIMANTS ALLEGE A LACK OF ADEQUATE PRODUCT(S) DUE DILIGENCE, OMISSION AND MISREPRESENTATION IN REGARD TO INHERENT RISKS OF PRODUCT(S) AND A LACK OF SUITABILITY OF PRODUCT(S) AS THE INVESTMENTS MADE DID NOT MATCH THEIR INVESTMENT OBJECTIVES AND RISK TOLERANCE. RECOMMENDATIONS / EVENTS IN QUESTION OCCURRED DURING A TIME PERIOD FROM THE FALL OF 2007 THROUGH SEPTEMBER OF 2008.
Product Type:	Annuity-Variable Real Estate Security
Alleged Damages:	\$382,800.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS ARE SEEKING COMPENSATORY DAMAGES OF APPROXIMATELY THE AMOUNT REFERENCED ABOVE WITH THE EXACT AMOUNT TO BE DETERMINED, AGAINST RESPONDENTS JOINTLY AND SEVERALLY, PLUS INTERESTS, COSTS AND ATTORNEY FEES.
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA DISPUTE RESOLUTION ARBITRATION
Docket/Case #:	15-03461
Date Notice/Process Served:	01/04/2016



Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/23/2017
Monetary Compensation Amount:	\$65,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Without admission or denial of any claim, and in order to avoid the costs associated with prolonged litigation, this matter was settled through private mediation between parties.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PROEQUITIES INC

Allegations:	CUSTOMERS ALLEGE THAT: IN OR ABOUT EARLY 2004 THE RR SUGGESTED THAT THE CUSTOMERS CONSIDER "ALTERNATIVE INVESTMENTS" VIA A PRIVATE INVESTMENT GROUP; IN OR ABOUT JULY 2004, THE CUSTOMERS ALONG WITH THE RR CREATED A PRIVATE INVESTMENT GROUP TO WHICH THEY EACH CONTRIBUTED MONIES; UNDER THE ADVISEMENT OF THE RR THE MONIES CONTRIBUTED BY EACH CUSTOMER INCLUDING THE RR WERE INVESTED IN SEVERAL REAL ESTATE OPPORTUNITIES WHICH SUFFERED SUBSTANTIAL LOSSES. CUSTOMERS ALLEGE THAT THEY HAVE BEEN INJURED DUE TO NEGLIGENCE, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, AND VIOLATIONS OF OH SECURITIES ACT.
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Product Type:	Other: PRIVATE INVESTMENT GROUP - REAL ESTATE
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Alleged Damages:	\$300,000.00
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Alleged Damages Amount Explanation (if amount not exact):	CUSTOMERS STATE THAT ON OR ABOUT 5/19/05 EACH OF THEM CONTRIBUTED \$51,000 TO THE PRIVATE INVESTMENT GROUP. THIS WAS FOLLOWED BY A SERIES OF ONGOING REGULAR CONTRIBUTIONS. IN TOTAL, THEY EACH CONTRIBUTED APPROXIMATELY \$150,000 INTO THE PRIVATE INVESTMENT GROUP. MOST OF THE INVESTMENTS, OR ABOUT \$100,000 EACH, WERE MADE ON/AFTER 4/5/2006.
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Is this an oral complaint?	No
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Is this a written complaint?	No
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Is this an arbitration/CFTC reparation or civil litigation?	Yes
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Arbitration/Reparation forum or court name and location:	FINRA
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Docket/Case #:	12-01099
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Filing date of arbitration/CFTC reparation or civil litigation:	03/23/2012
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Customer Complaint Information

Date Complaint Received:	04/03/2012
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Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for respondents/defendants)
Status Date:	05/13/2013
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Broker Statement	THE ARBITRATION PANEL DETERMINED THAT THERE WAS NO BASIS FOR CLAIMANTS ALLEGATIONS AND THE CLAIM WAS DENIED IN ITS ENTIRETY.



End of Report

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