



IAPD Report

LOUIS ANTHONY DEPPAS

CRD# 1779324

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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

LOUIS ANTHONY DEPPAS (CRD# 1779324)

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 **03/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LINCOLN INVESTMENT	CRD# 519	01/03/2017
IA	LINCOLN INVESTMENT	CRD# 519	03/25/2021
IA	CAPITAL ANALYSTS	CRD# 162200	05/13/2021

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
B	LEGEND EQUITIES CORPORATION	30999	Lakewood, NY	01/01/1994 - 01/03/2017
B	LEGEND CAPITAL CORPORATION	4149	PALM BEACH GARDENS, FL	08/25/1988 - 01/01/1994

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: **LINCOLN INVESTMENT**
Main Address: 601 OFFICE CENTER DRIVE
SUITE 300
FORT WASHINGTON, PA 19034-3232
Firm ID#: 519

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	01/03/2017
B Alabama	Agent	Approved	01/03/2022
B Arizona	Agent	Approved	01/04/2019
B California	Agent	Approved	01/10/2020
B Colorado	Agent	Approved	03/04/2026
B Delaware	Agent	Approved	01/29/2026
B Florida	Agent	Approved	01/03/2017
B Georgia	Agent	Approved	05/03/2021
B Indiana	Agent	Approved	04/25/2023
B Kansas	Agent	Approved	11/28/2023
B Louisiana	Agent	Approved	02/02/2026
B Maryland	Agent	Approved	01/03/2017
B Massachusetts	Agent	Approved	04/22/2020



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	01/03/2017
B Missouri	Agent	Approved	05/17/2023
B Nevada	Agent	Approved	11/20/2018
B New Hampshire	Agent	Approved	01/03/2017
B New Jersey	Agent	Approved	06/14/2022
B New York	Agent	Approved	01/03/2017
IA New York	Investment Adviser Representative	Approved	03/25/2021
B North Carolina	Agent	Approved	01/03/2017
B Ohio	Agent	Approved	01/03/2017
B Pennsylvania	Agent	Approved	01/03/2017
B South Carolina	Agent	Approved	05/28/2019
B Texas	Agent	Approved	01/03/2017
B Utah	Agent	Approved	12/07/2020
B Virginia	Agent	Approved	01/03/2017
B Washington	Agent	Approved	01/10/2020
B Wisconsin	Agent	Approved	01/03/2022

Branch Office Locations


LINCOLN INVESTMENT
110 Mall Blvd.
Lakewood, NY 14750

Employment 2 of 2



Qualifications

Firm Name: **CAPITAL ANALYSTS**
Main Address: 601 OFFICE CENTER DRIVE
SUITE 300
FORT WASHINGTON, PA 19034-3232
Firm ID#: 162200

	Regulator	Registration	Status	Date
	New York	Investment Adviser Representative	Approved	05/13/2021

Branch Office Locations

CAPITAL ANALYSTS
110 Mall Boulevard
Lakewood, NY 14750



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, 2 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
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/24/1988

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	08/11/1988
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PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/01/1994 - 01/03/2017	LEGEND EQUITIES CORPORATION	CRD# 30999	Lakewood, NY
B	08/25/1988 - 01/01/1994	LEGEND CAPITAL CORPORATION	CRD# 4149	PALM BEACH GARDENS, FL

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
01/2017 - Present	LINCOLN INVESTMENT	Mass Transfer	Y	Lakewood, NY, United States
07/2011 - 09/2019	LEGEND ADVISORY CORPORATION	REGISTERED REPRESENTATIVE	Y	PALM BEACH GARDENS, FL, United States
01/1994 - 01/2017	LEGEND EQUITIES CORPORATION	OTHER - Representative	Y	AMHERST, NY, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

LOUIS A DEPPAS ENTERPRISES INC.
 POSITION: OWNER NATURE: INCOME TAX PREP INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2014
 ADDRESS: 106 Chadwick St., Jamestown NY 14701, United States
 DESCRIPTION: MANAGE SOFTWARE PURCHASE AND BANK DEPOSITS

LUCY DESI CENTER
 POSITION: OFFICER, VICE-PRESIDENT NATURE: BOARD MEMBER INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 11/02/2010
 ADDRESS: 2 WEST THIRD ST., Jamestown NY 14701, United States
 DESCRIPTION: ATTEND BOARD MEETINGS

CHAUTAUQUA SPORTS HALL OF FAME
 POSITION: BOARD MEMBER NATURE: BOARD MEMBER INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 02/28/2011
 ADDRESS: THIRD ST., Jamestown NY 14701, United States
 DESCRIPTION: ATTEND BOARD MEETINGS

DEPPAS INSURANCE AGENCY LLC
 POSITION: OWNER, BUT NOT PARTICIPATING IN OR LICENSED TO SELL P & C INSURANCE NATURE: PROPERTY-



Registration & Employment History



OTHER BUSINESS ACTIVITIES

CASUALTY INSURANCE COMPANY INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0
START DATE: 07/01/2013

ADDRESS: 110 MALL BLVD STE. #2, LAKEWOOD NY 14750, United States

DESCRIPTION: MONITOR ACCOUNTS, PAY BILLS, REPORT PAYROLL

DEPPAS SERVICES INC

POSITION: OWN AND OPERATE LEGEND GROUP OFFICE NATURE: FINANCIAL INVESTMENT RELATED: Yes NUMBER OF
HOURS: 180 SECURITIES TRADING HOURS: 160 START DATE: 10/01/2015

ADDRESS: 110 MALL BLVD STE. #1, LAKEWOOD NY 14750, United States

DESCRIPTION: MANAGE MY OWN PRACTICE, MONITOR ACCOUNTS AND PAY BILLS, REPORT PAYROLL

COMPLETE MEDICARE SERVICES

POSITION: Owner and salesperson NATURE: Medicare plan sales INVESTMENT RELATED: No NUMBER OF HOURS: 8
SECURITIES TRADING HOURS: 2 START DATE: 10/01/2019

ADDRESS: 110 Mall Blvd, Lakewood NY 14750, United States

DESCRIPTION: Market and sell medicare advantage and supplement plans

DBA THE TAX TEAM

POSITION: Owner NATURE: Income Tax Preparation INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES
TRADING HOURS: 0 START DATE: 01/01/2015

ADDRESS: 110 Mall Blvd, Lakewood NY 14750, United States

DESCRIPTION: Owner only. No direct participation in tax preparation.

LOU & MELISSA DEPPAS CONDOMINIUM RENTAL

POSITION: Co-Owner NATURE: Rental Property INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES
TRADING HOURS: 0 START DATE: 01/01/2023

ADDRESS: 6 W. Terrace Ave., Lakewood NY 14750, United States

DESCRIPTION: Just to collect and deposit rent.

Chautauqua Region Community Foundation

POSITION: Finance Committee Member NATURE: Non-Profit Endowment INVESTMENT RELATED: Yes NUMBER OF HOURS:
1 SECURITIES TRADING HOURS: 0 START DATE: 02/28/2011

ADDRESS: 418 Spring St. Jamestown, NY 14701 United States

DESCRIPTION: Attend meetings to review the investment managers performance.



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:	LEGEND EQUITIES CORPORATION
Allegations:	[CUSTOMER] ALLEGES A TRANSACTION WAS EXECUTED ON OCTOBER 8, 2014 WITHOUT HIS AUTHORIZATION.
Product Type:	Mutual Fund
Alleged Damages:	\$52,500.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/24/2015
Complaint Pending?	No
Status:	Denied
Status Date:	05/14/2015

Settlement Amount:

Individual Contribution Amount:

Broker Statement A FULL REVIEW OF THE CLIENT'S FILE WAS CONDUCTED AND THE



FINDINGS ARE AS FOLLOWS; FIRM RECEIVED A REQUEST ON AUGUST 12, 2014, WHICH WAS SIGNED BY [CUSTOMER] ON JULY 31, 2014, TO PROCESS A PARTIAL TRANSFER OF \$52,500 FROM [CUSTOMER'S] LEGEND PREMIER CUSTODIAL 403(B)(7) ACCOUNT TO A STRATEGIC ASSET MANAGEMENT (SAM) BALANCE PORTFOLIO ACCOUNT. THE REQUEST WAS DEEMED NOT IN GOOD ORDER (NIGO) ON AUGUST 13, 2014, AS IT WAS MISSING THE NEW ACCOUNT APPLICATION. THE NEW ACCOUNT APPLICATION WAS RECEIVED SEPTEMBER 30, 2014 WHICH WAS SIGNED BY [CUSTOMER] ON SEPTEMBER 29, 2014. THE REQUEST WAS PROCESSED ON OCTOBER 3, 2014 IN ACCORDANCE WITH THE INSTRUCTIONS AND ACCOUNT PAPERWORK THAT WAS RECEIVED. Final results of this investigation are that no evidence was found to support the allegations in the complaint. The complaint was denied 05/14/2015.



End of Report

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