



IAPD Report

ANDRE EDGAR BECKLES

CRD# 1864333

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

ANDRE EDGAR BECKLES (CRD# 1864333)

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 **08/04/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	06/13/2013
IA	LPL FINANCIAL LLC	CRD# 6413	08/03/2021

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
B	ESSEX NATIONAL SECURITIES, LLC	25454	NEW YORK, NY	05/24/2004 - 04/03/2013
B	GREENPOINT SECURITIES LLC	127042	LAKE SUCCESS, NY	01/02/2004 - 05/21/2004
B	ESSEX NATIONAL SECURITIES, INC.	25454	NAPA, CA	09/08/1998 - 01/02/2004

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	3



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 1

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	06/13/2013
B Arkansas	Agent	Approved	08/30/2017
B California	Agent	Approved	09/11/2020
B Connecticut	Agent	Approved	06/01/2021
B Delaware	Agent	Approved	01/04/2021
B Florida	Agent	Approved	05/20/2015
B Indiana	Agent	Approved	09/11/2020
B Maryland	Agent	Approved	07/29/2013
B New Jersey	Agent	Approved	06/14/2013
B New York	Agent	Approved	06/14/2013
IA New York	Investment Adviser Representative	Approved	08/03/2021
B North Carolina	Agent	Approved	08/05/2021
B Pennsylvania	Agent	Approved	04/08/2015



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	07/23/2013

Branch Office Locations

LPL FINANCIAL LLC
89-00 170TH ST STE 8K
JAMAICA, NY 11432



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
------	----------	------

No information reported.

General Industry/Product Exams

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

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

General Securities Representative Examination (S7)	Series 7	11/18/1989
--	----------	------------

State Securities Law Exams

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

Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/1990
--	-----------	------------

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	05/24/2004 - 04/03/2013	ESSEX NATIONAL SECURITIES, LLC	CRD# 25454	NEW YORK, NY
B	01/02/2004 - 05/21/2004	GREENPOINT SECURITIES LLC	CRD# 127042	LAKE SUCCESS, NY
B	09/08/1998 - 01/02/2004	ESSEX NATIONAL SECURITIES, INC.	CRD# 25454	NAPA, CA
B	02/02/1998 - 09/16/1998	OPPENHEIMERFUNDS DISTRIBUTOR, INC.	CRD# 7834	NEW YORK, NY
B	06/28/1996 - 01/01/1998	MURIEL SIEBERT & CO., INC.	CRD# 5376	NEW YORK, NY
B	05/10/1995 - 09/12/1995	NATIONAL DISCOUNT BROKERS	CRD# 27501	OMAHA, NE
B	06/29/1993 - 09/06/1994	WATERHOUSE SECURITIES, INC.	CRD# 7870	OMAHA, NE
B	06/01/1992 - 08/11/1993	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	02/20/1990 - 06/01/1992	CITICORP FINANCIAL SERVICES, INC.	CRD# 14675	
B	11/22/1989 - 02/17/1990	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2013 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	JAMAICA, 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.

1)6/13/13-DBA ONLY/HARARE ASSET MANAGEMENT, LLC/50%/JAMAICA,NY



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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Essex National Securities, LLC
Allegations:	Customer alleged fees and expenses associated with this product were inadequately disclosed.
Product Type:	CD
Alleged Damages:	\$18,000.00
Alleged Damages Amount Explanation (if amount not exact):	Client letter indicated he lost "at least \$18,000".
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:	09/28/2017
Complaint Pending?	No
Status:	Denied
Status Date:	10/04/2017
Settlement Amount:	\$0.00



Individual Contribution Amount: \$0.00

Firm Statement After reviewing the client signed and initialed new account forms with disclosures of fees and expenses, the Firm found this product was consistent with the client's conservative risk tolerance, desire for safety of principal, and offered the potential for income.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Essex National Securities, LLC

Allegations: Customer alleged fees and expenses associated with this product were inadequately disclosed.

Product Type: CD

Alleged Damages: \$18,000.00

Alleged Damages Amount Explanation (if amount not exact): Client letter indicated he lost "at least \$18,000".

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: 09/28/2017

Complaint Pending? No

Status: Denied

Status Date: 10/04/2017

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement After reviewing the client signed and initialed new account forms with disclosures of fees and expenses, the Firm found this product was consistent with the client's conservative risk tolerance, desire for safety of principal, and offered the potential for income.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FLUSHING SERVICES GROUP

Allegations: CLIENT REQUESTED TO ESTABLISH IMMEDIATE ANNUITY WITH NY LIFE INSURANCE COMPANY.CLIENT INVEST \$74,972 ON 6/3/2009.CLIENT REQUESTED TO CLOSE THE ACCOUNT VIA A "FREE-LOOK PRIVILEGE" ON 8/4/2009. NY LIFE ISSUED A CHECK PAYABLE TO CLIENT FOR \$74,972. HE



INVESTED THE SAID PROCEEDS AT FLUSHING BANK BANK IN A RETAIL BANK CD. THE CUSTOMER FORGETS WHERE HIS MONEY IS AND WRITES A COMPLAINT THAT THE BROKER HAS STOLEN HIS MONEY.

Product Type: Annuity-Fixed
Insurance
Other: IMMEDIATE LIFE INSURANCE ANNUITY

Alleged Damages: \$74,972.00

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: 11/10/2010

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/03/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CLIENT REQUESTED TO ESTABLISH IMMEDIATE ANNUITY WITH NY LIFE INSURANCE COMPANY. CLIENT INVESTED \$74,972 ON 6/3/2009. CLIENT REQUESTED TO CLOSE THE ACCOUNT VIA A "FREE-LOOK PRIVILEGE" ON 8/4/2009. NY LIFE ISSUED A CHECK PAYABLE TO CLIENT FOR \$74,972. HE INVESTED THE SAID PROCEEDS AT FLUSHING BANK BANK IN A RETAIL BANK CD. THE CUSTOMER FORGETS WHERE HIS MONEY IS AND WRITES A COMPLAINT THAT THE BROKER HAS STOLEN HIS MONEY. AS THE BROKER I HAVE EVIDENCE THAT [CUSTOMER] HAS HIS PROCEEDS AND THAT THESE ALLEGATIONS ARE FALSE. HE ALLOCATED FUNDS TO AN IRA ACCOUNT AT FLUSHING SAVINGS BANK ON 09/03/2009 FOR \$74,972.00. I HAVE TWO BRANCH MANAGERS AT SAID INSTITUTION TO CONFIRM HE OPENED THE ACCOUNT AND THEN CLOSED IT ON 03/13/2010. HE THEN TOOK THE PROCEEDS AND THE CHECK WAS CASHED 07/22/2010 AT BAY RIDGE FEDERAL CREDIT UNION IN BROOKLYN, NEW YORK. THAT INFORMATION WAS CONFIRMED BY AMERICAN EXPRESS, WHO ISSUES ALL CHECKS AND PROCESSES CHECKS FOR FLUSHING SAVINGS BANK OF NEW YORK. I WOULD LIKE THIS CASE TO GO TO ARBITRATION, SO THIS NEGATIVE MARK IS NOT HELD ON MY U4.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ESSEX NATIONAL SECURITIES, INC.

Allegations: CLIENT ALLEGES INVESTMENT WAS UNSUITABLE

Product Type: Mutual Fund(s)

Alleged Damages: \$10,692.99



Customer Complaint Information

Date Complaint Received: 01/16/2003

Complaint Pending? No

Status: Denied

Status Date: 02/12/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement INVESTMENT APPEARS SUITABLE BASED ON DOCUMENTATION



End of Report

This page is intentionally left blank.