



IAPD Report

SCOTT ANDREW VALENTINE

CRD# 2334877

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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 ANDREW VALENTINE (CRD# 2334877)

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 **09/02/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024
IA	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	PRUCO SECURITIES, LLC.	5685	NEWARK, NJ	06/20/2024 - 11/14/2024
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	Riverhead, NY	06/20/2024 - 11/14/2024
B	CITIGROUP GLOBAL MARKETS INC.	7059	Farmingdale, NY	11/15/2022 - 04/18/2024

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
Financial	7



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

Employment 1 of 1

Firm Name: **LPL ENTERPRISE, LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 8733

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/14/2024
B	Arizona	Agent	Approved	11/14/2024
B	Florida	Agent	Approved	11/20/2024
B	New York	Agent	Approved	11/14/2024
IA	New York	Investment Adviser Representative	Approved	11/14/2024
B	Virginia	Agent	Approved	03/05/2025

Branch Office Locations

LPL ENTERPRISE, LLC
445 BROADHOLLOW ROAD
SUITE 405
MELVILLE, NY 11747



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
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General Securities Representative Examination (S7)	Series 7	04/23/2003
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	11/07/2003
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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	06/20/2024 - 11/14/2024	PRUCO SECURITIES, LLC.	CRD# 5685	NEWARK, NJ
IA	06/20/2024 - 11/14/2024	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	Riverhead, NY
B	11/15/2022 - 04/18/2024	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	Farmingdale, NY
IA	11/15/2022 - 04/18/2024	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	Farmingdale, NY
IA	02/19/2016 - 12/02/2022	LPL FINANCIAL LLC	CRD# 6413	HICKSVILLE, NY
B	02/18/2016 - 12/02/2022	LPL FINANCIAL LLC	CRD# 6413	HICKSVILLE, NY
IA	01/28/2015 - 02/22/2016	CAPITAL ONE ADVISORS, LLC	CRD# 136865	SEATTLE, WA
B	01/02/2015 - 02/22/2016	CAPITAL ONE INVESTING, LLC	CRD# 45744	SAG HARBOR, NY
IA	04/07/2014 - 01/28/2015	CAPITAL ONE FINANCIAL ADVISORS LLC	CRD# 127236	SOUTHAMPTON, NY
B	04/03/2014 - 01/02/2015	CAPITAL ONE INVESTMENT SERVICES LLC	CRD# 25658	SOUTHAMPTON, NY
IA	11/17/2010 - 03/31/2014	METLIFE SECURITIES INC.	CRD# 14251	NEW YORK, NY
B	10/27/2010 - 03/31/2014	METLIFE SECURITIES INC.	CRD# 14251	NEW YORK, NY
IA	10/06/2006 - 10/27/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	NEW YORK, NY
B	10/30/2003 - 10/27/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	NEW YORK, NY
B	10/30/2003 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	04/25/2003 - 07/16/2003	CREDIT LYONNAIS SECURITIES (USA), INC.	CRD# 190	NEW YORK, NY



Registration & Employment History

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
11/2024 - Present	LPL ENTERPRISE, LLC	Mass Transfer	Y	Forest Hills, NY, United States
06/2024 - Present	The Prudential Insurance Company of America	Financial Professional	Y	Riverhead, NY, United States
06/2024 - 11/2024	Pruco Securities LLC	Registered Representative	Y	Riverhead, NY, United States
11/2022 - 04/2024	Citigroup	Senior Wealth Advisor	Y	Smithtown, NY, United States
02/2016 - 11/2022	LPL Financial, LLC	Registered Representative	Y	NORTH BABYLON, 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.

No information reported.



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
Financial	7

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:	Firm
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Customer alleges forgery and unsuitable recommendation of market-linked CDs.
Product Type:	CD
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unable to conclude it was under \$5,000.
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:	10/11/2023
Complaint Pending?	No
Status:	Settled
Status Date:	01/31/2024
Settlement Amount:	\$75,000.00



Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: Customer alleges forgery and unsuitable recommendation of market-linked CDs.

Product Type: CD

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Unable to conclude it was under \$5,000.

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: 10/11/2023

Complaint Pending? No

Status: Settled

Status Date: 01/31/2024

Settlement Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Capital One Investing, LLC

Allegations: Customer alleges inappropriate recommendation of converting retirement savings plan balance into variable annuity contract on 6/15/15. Customer alleges that rep did not disclose withdrawal penalties, investment advisory fees and expenses and commissions rep was to collect from the sale of the product.

Product Type: Annuity-Variable
Other: retirement savings plan

Alleged Damages: \$13,193.55

Alleged Damages Amount Explanation (if amount not exact): Surrender charges for the variable annuity as of today.

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: 03/20/2017

Complaint Pending? No

Status: Closed/No Action

Status Date: 11/18/2016

Settlement Amount:

Individual Contribution
Amount:

Firm Statement This matter was closed on 11/18/16 as the firm found no evidence supporting the client's claim that the subject investment was unsuitable.

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: CAPITAL ONE INVESTING

Allegations: CUSTOMER'S POWER OF ATTORNEY ALLEGES THAT VARIABLE ANNUITY PURCHASED IN JUNE 2015 WAS UNSUITABLE AND SOUGHT TERMINATION OF THE CONTRACT WITHOUT PENALTY. ACTIVITY PERIOD 6/15/15-12/12/16.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount
Explanation (if amount not
exact): DAMAGES UNSPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN \$5,000.

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: 03/27/2017

Complaint Pending? No

Status: Denied

Status Date: 02/16/2017

Settlement Amount:

Individual Contribution
Amount:

Broker Statement REPRESENTATIVE DENIES THE ALLEGATIONS OF THE POWER ATTORNEY, WHO WAS NOT PRESENT FOR SEVERAL DISCUSSIONS WITH CUSTOMER ABOUT HER FINANCIAL CIRCUMSTANCES AND INVESTMENT OBJECTIVES. DURING THESE DISCUSSIONS, AFTER EVALUATING SEVERAL



ALTERNATIVES, CUSTOMER AGREED THAT ANNUITY WOULD PROVIDE A GUARANTEED LIFETIME INCOME, SIMPLIFY HER PROCESS FOR TAKING REQUIRED MINIMUM DISTRIBUTIONS, AND ALLOW HER TO INVEST HER ASSETS IN LINE WITH HER TIME HORIZON AND RISK TOLERANCE.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 7

Reporting Source: Individual
Action Type: Compromise
Action Date: 12/28/2022
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 12/28/2022
If a compromise with creditor, provide:
Name of Creditor: GITSIT
Original Amount Owed: \$384,000.00
Terms Reached with Creditor: \$352,352.41 new amount owed.

Broker Statement

The compromise was for short sale of a home that was transferred to the control of my ex-wife per divorce decree in 2010. It had been her stated intention to bring the home out of arrears and take over ownership. After twelve (12) years she was never able to do this. When the lenders threatened foreclosure, the only solution was a short sale. Unfortunately I was never able to get my name off of the deed or original lien paperwork, so I was named in the matter.

Disclosure 2 of 7

Reporting Source: Individual
Action Type: Compromise
Action Date: 12/28/2022
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 12/28/2022
If a compromise with creditor, provide:
Name of Creditor: CITI
Original Amount Owed: \$88,000.00



Terms Reached with Creditor: New amount owed of \$10,000.00

Broker Statement The compromise was for short sale of a home that was transferred to the control of my ex-wife per divorce decree in 2010. It had been her stated intention to bring the home out of arrears and take over ownership. After twelve (12) years she was never able to do this. When the lenders threatened foreclosure, the only solution was a short sale. Unfortunately I was never able to get my name off of the deed or original lien paperwork, so I was named in the matter.

Disclosure 3 of 7

Reporting Source: Individual

Action Type: Compromise

Action Date: 09/10/2022

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 09/10/2022

If a compromise with creditor, provide:

Name of Creditor: The Bureaus/First Natl Bank of Omaha

Original Amount Owed: \$2,819.00

Terms Reached with Creditor: Original amount owed \$2,819 was settled for \$2,396

Disclosure 4 of 7

Reporting Source: Individual

Action Type: Compromise

Action Date: 10/01/2021

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 10/01/2021

If a compromise with creditor, provide:

Name of Creditor: GoodYear Tire

Original Amount Owed: \$576.00

Terms Reached with Creditor: Original amount owed \$576 was settled for \$432



Disclosure 5 of 7

Reporting Source: Individual
Action Type: Compromise
Action Date: 05/01/2021
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 05/01/2021
If a compromise with creditor, provide:
Name of Creditor: Kohls/Cap One
Original Amount Owed: \$356.00
Terms Reached with Creditor: Original amount owed \$356 was settled for \$250

Disclosure 6 of 7

Reporting Source: Individual
Action Type: Compromise
Action Date: 09/15/2022
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 09/15/2022
If a compromise with creditor, provide:
Name of Creditor: Capital One Bank
Original Amount Owed: \$3,246.00
Terms Reached with Creditor: Original amount owed \$3,246 was settled for \$2,597.36

Disclosure 7 of 7

Reporting Source: Individual
Action Type: Compromise
Action Date: 09/10/2022
Organization Investment-Related?



Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	09/10/2022
If a compromise with creditor, provide:	
Name of Creditor:	Fair Collections & Outsourcing
Original Amount Owed:	\$2,911.00
Terms Reached with Creditor:	Original amount owed was \$2,911 was settled for \$2,037



End of Report

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