



IAPD Report

ALEXANDER WOLCOTT VANDENBERG SR.

CRD# 2704418

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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

ALEXANDER WOLCOTT VANDENBERG SR. (CRD# 2704418)

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 **12/24/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NBC SECURITIES, INC.	CRD# 17870	03/07/2006
IA	FINANCIAL ADVISORY PARTNERS, LLC	CRD# 310914	01/26/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	NBC SECURITIES, INC.	17870	ORLANDO, FL	06/22/2006 - 08/19/2021
B	FIFTH THIRD SECURITIES, INC.	628	CINCINNATI, OH	02/25/2005 - 03/08/2006
B	INVEST FINANCIAL CORPORATION	12984	APPLETON, WI	06/29/2004 - 02/28/2005

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

Employment 1 of 2

Firm Name: **NBC SECURITIES, INC.**
Main Address: 1927 FIRST AVENUE NORTH
BIRMINGHAM, AL 35203
Firm ID#: 17870

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	03/07/2006
	Alabama	Agent	Approved	06/18/2008
	Florida	Agent	Approved	03/07/2006
	Georgia	Agent	Approved	07/18/2022
	Michigan	Agent	Approved	03/11/2011
	New York	Agent	Approved	11/08/2022
	Ohio	Agent	Approved	10/28/2022
	Oregon	Agent	Approved	10/27/2015
	Virginia	Agent	Approved	10/31/2022
	Wisconsin	Agent	Approved	06/13/2012

Branch Office Locations

NBC SECURITIES, INC.
1201 South Orlando Ave
SUITE 350
WINTER PARK, FL 32789

Employment 2 of 2



Qualifications

Firm Name: **FINANCIAL ADVISORY PARTNERS, LLC**
Main Address: 1201 S. ORLANDO AVENUE
SUITE 350
WINTER PARK, FL 32789
Firm ID#: 310914

Regulator	Registration	Status	Date
 Florida	Investment Adviser Representative	Approved	01/26/2021

Branch Office Locations

FINANCIAL ADVISORY PARTNERS, LLC
1201 S. ORLANDO AVENUE
SUITE 350
WINTER PARK, FL 32789



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	03/06/1996

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/21/2006
B Uniform Securities Agent State Law Examination (S63)	Series 63	09/19/1996



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
IA	06/22/2006 - 08/19/2021	NBC SECURITIES, INC.	CRD# 17870	ORLANDO, FL
B	02/25/2005 - 03/08/2006	FIFTH THIRD SECURITIES, INC.	CRD# 628	CINCINNATI, OH
B	06/29/2004 - 02/28/2005	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	05/03/1999 - 07/13/2004	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	PHILADELPHIA, PA
B	04/01/1998 - 05/03/1999	NATIONSBANC INVESTMENTS, INC.	CRD# 16361	BOSTON, MA
B	03/07/1996 - 04/01/1998	BARNETT INVESTMENTS, INC.	CRD# 14897	JACKSONVILLE, 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
12/2020 - Present	FINANCIAL ADVISORY PARTNERS, LLC	INVESTMENT ADVISER REPRESENTATIVE	N	WINTER PARK, FL, United States
09/2008 - Present	FINANCIAL ADVISORY PARTNERS, LLC	MANAGING MEMBER	Y	WINTER PARK, FL, United States
03/2006 - 11/2020	NBC SECURITIES, INC.	INVESTMENT REPRESENTATIVE	Y	ORLANDO, FL, 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.

GOOD CAPITAL CORPORATION
NOT INVESTMENT RELATED
174 W COMSTOCK AVE
WINTER PARK, FL 32789
REAL ESTATE SALES
ASSOCIATE
START DATE 1/1/05



Registration & Employment History



OTHER BUSINESS ACTIVITIES

1 HRS PER MONTH
0 DURING TRADING HRS
REAL ESTATE SALES/REFERRALS

FINANCIAL ADVISORY PARTNERS LLC/INVESTMENT RELATED/350 KILLARNEY DRIVE WINTER PARK, FL/FLORIDA LLC OWNED BY SUTPHIN, VANDENBERG REPRESENTING OUR FINANCIAL ADVISORY PRACTICE/BUSINESS PARTNERSHIP OF VANDENBERG SUTPHIN AND FORMAL REFERRAL NETWORK/START DATE 3/1/2006/160 HRS PER MONTH, FULL TIME/PARTNER



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:	Firm
Employing firm when activities occurred which led to the complaint:	JANNEY MONTGOMERY SCOTT LLC
Allegations:	CLAIMANT ALLEGES THAT BETWEEN MAY 1999 AND SEPTEMBER 2001, HER ACCOUNT WAS EXCESSIVELY TRADED IN UNSUITABLE MUTUAL FUNDS.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$300,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/18/2007
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA DISPUTE RESOLUTION NUMBER 07-02589
Date Notice/Process Served:	09/18/2007



Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/30/2008

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Firm Statement JANNEY DENIES THAT IT OR ALEXANDER W. VANDENBERG, SR. HAVE COMMITTED ANY WRONGFUL ACTS OR VIOLATIONS OF LAW WHATSOEVER OR THAT IT OR ALEXANDER W. VANDENBERG, SR. WAS LIABLE IN ANY MANNER. THE PARTIES CONCLUDED THAT THE RESOLUTION OF THEIR DISPUTES AND THE SETTLEMENT OF THE CLAIMS BETWEEN THEM WITHOUT THE NEED FOR COMPLEX, TIME-CONSUMING AND COSTLY LITIGATION OR ARBITRATION WOULD BE IN THEIR RESPECTIVE BEST INTERESTS.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: JANNEY MONTGOMERY SCOTT LLC

Allegations: CLAIMANT ALLEGES THAT BETWEEN MAY 1999 AND SEPTEMBER 2001, HER ACCOUNT WAS EXCESSIVELY TRADED IN UNSUITABLE MUTUAL FUNDS

Product Type: Mutual Fund

Alleged Damages: \$300,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA/NASD

Docket/Case #: 07-02589

Filing date of arbitration/CFTC reparation or civil litigation: 09/18/2007

Customer Complaint Information

Date Complaint Received: 09/18/2007

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 09/18/2007

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA/NASD

Docket/Case #: 07-02589

Date Notice/Process Served: 09/18/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/05/2008

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Broker Statement In 2007, Claimant filed an arbitration claim against Alexander W. van den Berg for alleged excessive trading in her brokerage account during the period May 1999 - September 2001. In October 2019, Claimant provided a notarized affidavit in efforts to correct the record with acknowledgement that the claim was filed as tactic in a longstanding divorce matter between Alexander W. van den Berg's Father and then Husband of Claimant. In her affidavit, Claimant officially stated for the record that the claim was unfounded and that Alexander W. van den Berg's conduct was professional and ethical at all times during their professional relationship. This affidavit is available upon request.



End of Report

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