



## IAPD Report

# LUCAS ALEXANDER VAN ZANDT

CRD# 2756168

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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

### LUCAS ALEXANDER VAN ZANDT (CRD# 2756168)

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 **07/15/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	07/21/2021
<b>IA</b>	LPL FINANCIAL LLC	CRD# 6413	07/21/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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>IA</b>	WADDELL & REED	866	BERLIN, CT	09/15/2009 - 07/21/2021
<b>B</b>	WADDELL & REED	866	BERLIN, CT	09/11/2009 - 07/21/2021
<b>B</b>	WELLS FARGO ADVISORS, LLC	19616	HARTFORD, CT	06/06/2007 - 06/10/2009

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
Termination	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 **17** 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>B</b>	FINRA	General Securities Representative	Approved	07/21/2021
<b>B</b>	California	Agent	Approved	12/26/2023
<b>B</b>	Colorado	Agent	Approved	07/21/2021
<b>B</b>	Connecticut	Agent	Approved	07/21/2021
<b>IA</b>	Connecticut	Investment Adviser Representative	Approved	07/21/2021
<b>B</b>	Florida	Agent	Approved	01/03/2024
<b>B</b>	Illinois	Agent	Approved	05/08/2023
<b>B</b>	Maine	Agent	Approved	01/02/2024
<b>B</b>	Maryland	Agent	Approved	01/04/2024
<b>B</b>	Massachusetts	Agent	Approved	07/21/2021
<b>B</b>	Nevada	Agent	Approved	01/04/2024
<b>B</b>	New Hampshire	Agent	Approved	01/05/2024
<b>B</b>	New Jersey	Agent	Approved	12/26/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New York	Agent	Approved	07/21/2021
<b>B</b> Pennsylvania	Agent	Approved	01/02/2024
<b>B</b> Rhode Island	Agent	Approved	01/02/2024
<b>B</b> South Carolina	Agent	Approved	07/21/2021
<b>B</b> Texas	Agent	Approved	07/15/2025
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	01/24/2024
<b>B</b> Vermont	Agent	Approved	07/21/2021

### Branch Office Locations

**LPL FINANCIAL LLC**  
BERLIN, CT



## 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 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
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	04/18/1997
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/21/1996

#### State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	01/23/1998
Uniform Securities Agent State Law Examination (S63)	Series 63	09/06/1996

### 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	09/15/2009 - 07/21/2021	WADDELL & REED	CRD# 866	BERLIN, CT
B	09/11/2009 - 07/21/2021	WADDELL & REED	CRD# 866	BERLIN, CT
B	06/06/2007 - 06/10/2009	WELLS FARGO ADVISORS, LLC	CRD# 19616	HARTFORD, CT
IA	06/06/2007 - 06/10/2009	WELLS FARGO ADVISORS, LLC	CRD# 19616	HARTFORD, CT
B	10/20/2004 - 04/13/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	HARTFORD, CT
IA	10/20/2004 - 04/13/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	HARTFORD, CT
B	11/15/2002 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
IA	11/15/2002 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	HARTFORD, CT
IA	10/12/1999 - 11/20/2002	MORGAN STANLEY	CRD# 7556	HARTFORD, CT
B	09/23/1999 - 11/20/2002	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	04/21/1997 - 09/02/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	06/27/1996 - 02/21/1997	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

### 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
07/2021 - Present	LPL FINANCIAL LLC	Financial Advisor	Y	BERLIN, CT, United States
09/2009 - 07/2021	VARIOUS INSURANCE CARRIERS FOR W&R INSURANCE AGENCIES	INSURANCE AGENT	Y	BERLIN, CT, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2009 - 07/2021	WADDELL & REED, INC.	ASSOCIATED PERSON	Y	BERLIN, CT, 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	3
Termination	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 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES, LLC

**Allegations:** CONNECTICUT CLIENTS CLAIMED THAT IN 2007 THE FA TOLD THEM THAT THEY SHOULD BALANCE THEIR PORTFOLIO BY BUYING A BOND FUND. THE CLIENTS FURTHER CLAIMED THAT THEY TOLD THE FA THEY WERE NOT LOOKING FOR AN INVESTMENT AS MUCH AS PROTECTING THEIR MONEY, SUCH AS IN A MONEY MARKET. THE CLIENTS CLAIMED THAT THE FA RECOMMENDED CLAYMORE SECURITIES AND SAID THAT THIS WOULD GIVE THEM THE BEST RETURNS. THE CLIENT CLAIMED THAT THEY TOLD THE FA THAT THEY WANTED A CONSERVATIVE APPROACH TO THEIR INVESTMENTS AND THEIR MONEY PROTECTED. ON TRADE DATE SEPTEMBER 6, 2007 THE CLIENTS PURCHASED 4,907 UNITS OF THE CLAYMORE SECURITIES STRATEGIC INCOME PORTFOLIO SERIES 15 REINVESTMENT UIT (THE CLAYMORE UIT AND/OR THE UIT) AT A PRICE OF 10.1884 FOR A NET AMOUNT OF \$49,994.48. THE CLIENTS CLAIMED THAT SHORTLY AFTER PURCHASING THE CLAYMORE UIT, THE VALUE DECLINED AND THEY INSTRUCTED THE FA TO SELL THE UIT BUT THAT HE DIDN'T DO IT SAYING THAT IT WOULD COST THEM TOO MUCH TO GET OUT OF THE INVESTMENT AND THAT THE FORECAST FOR THE UIT WAS GOOD. THE CLIENTS STAYED WITH THE INVESTMENT. THE CLIENTS TRANSFERRED THEIR ACCOUNT AND THE UIT POSITION FROM THE FIRM IN OCTOBER 2008. THE CLIENTS SEEK TO RECOVER THE PRINCIPAL THAT THEY HAD INVESTED IN THE CLAYMORE UIT. DAMAGES ARE BELIEVED TO BE IN EXCESS OF \$5,000.

**Product Type:** Unit Investment Trust(s)



**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 02/18/2009

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/12/2009

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

THE FIRM DENIED THE COMPLAINT ON MARCH 12, 2009 VIA A LETTER TO THE CLIENTS.

FA'S RESPONSE: I BEGAN WORKING WITH THE CLIENTS AS THEIR FINANCIAL ADVISOR IN THE SUMMER OF 2007. AFTER GETTING TO KNOW THE CLIENTS FOR SEVERAL MONTHS, I DISCUSSED A NUMBER OF INVESTMENTS WITH THEM INCLUDING THE CLAYMORE SECURITIES STRATEGIC INCOME PORTFOLIO SERIES 15 REINVESTMENT UIT ("THE CLAYMORE UIT" AND/OR "THE UIT"). IT WAS MY UNDERSTANDING THAT THE CLIENTS HAD \$50,000 THAT THEY WANTED TO INVEST AT THAT TIME. BASED UPON THE CLIENTS' OVERALL INVESTOR PROFILE, INCLUDING THEIR NET WORTH, ANNUAL INCOME, LIQUID ASSETS, MODERATE GROWTH & INCOME INVESTMENT OBJECTIVES, I BELIEVED THAT THE CLAYMORE UIT WOULD MEET THEIR FINANCIAL NEEDS AND COMPLIMENT THEIR EXISTING PORTFOLIO. THE CLIENTS WERE PROVIDED WITH A FACT SHEET FOR THE UIT AND A PROSPECTUS. I EXPLAINED HOW THE UIT WORKED, THE CHARACTERISTICS OF THE UIT, HOW THE UIT WAS STRUCTURED, THE RISKS ASSOCIATED WITH INVESTING IN THE UIT, AS WELL AS THE COSTS AND FEES. AFTER THE CLIENTS PURCHASED THE UIT, I SPOKE TO THEM A NUMBER OF TIMES TO REVIEW HIS ACCOUNT AND INVESTMENTS. I WAS NEVER TOLD BY THE CLIENTS TO SELL THE UIT. THE CLIENTS PURCHASED ANOTHER UIT FOR THEIR ACCOUNT IN MAY 2008. I BELIEVE THE COMPLAINT TO BE WITHOUT MERIT.

### Disclosure 2 of 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES, LLC

**Allegations:** FLORIDA CLIENT REQUESTED THAT THE FA BE REMOVED AS THE FA FOR HER ACCOUNTS. THE CLIENT CLAIMED THAT THE FA DID NOT TELL HER THAT A FUND THAT HE RECOMMENDED HAD A SALES CHARGE OF 3% PLUS ANNUAL EXPENSES OF 1.6%. THE CLIENT HAD PURCHASED 33,162 UNITS OF THE FIRST TRUST MUNICIPAL INCOME SELECT C/E SERIES 9 UIT AT A PRICE OF 9.70980 FOR A NET AMOUNT OF \$321,996.39 ON TRADE DATE OCTOBER 15, 2007. THE CLIENT DID NOT MAKE A CLAIM FOR DAMAGES. THE SALES CHARGE FOR THE UIT IS ESTIMATED TO BE 3.1% OR \$9,981.89.

**Product Type:** Unit Investment Trust(s)

**Other Product Type(s):** N/A

**Alleged Damages:** \$9,981.99



### Customer Complaint Information

**Date Complaint Received:** 11/19/2007  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 12/12/2007  
**Settlement Amount:** \$0.00  
**Individual Contribution Amount:** \$0.00

**Broker Statement** A LETTER WAS SENT TO THE CLIENT ON DECEMBER 12, 2007 DENYING THE COMPLAINT. PER THE FA, HE DISCUSSED WITH THE CLIENT AND HER SON SUCH INFORMATION AS THE CHARACTERISTICS, STRUCTURE, PORTFOLIO COMPOSITION, PORTFOLIO OBJECTIVE, ADVANTAGES (INCLUDING THE TAX ADVANTAGES), RISKS, FEES AND COSTS (INCLUDING SALES CHARGES AND AVAILABLE BREAKPOINTS) ASSOCIATED WITH AN INVESTMENT IN THE FIRST TRUST MUNICIPAL INCOME SELECT C/E SERIES 9 UIT.

### Disclosure 3 of 3

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** BANC OF AMERICA INVESTMENT SERVICES, INC.

**Allegations:** CLIENT VERBALLY ALLEGED THAT HE WAS MISLED BY THE FINANCIAL ADVISOR IN DECEMBER 2006 WHEN HE REQUESTED A DISBURSEMENT FROM HIS ACCOUNT BECAUSE HE WAS TOLD THAT HE WOULD NEED TO REALLOCATE HIS PORTFOLIO INTO A UNIT INVESTMENT TRUST IN ORDER TO HAVE FUNDS AVAILABLE. COMPENSATORY DAMAGES UNSPECIFIED.

**Product Type:** Unit Investment Trust(s)  
**Other Product Type(s):** MUTUAL FUND - OPEN END; DEBT - CORPORATE  
**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 08/27/2007  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 08/27/2007  
**Settlement Amount:** \$10,994.00  
**Individual Contribution Amount:** \$0.00

**Firm Statement** SETTLEMENT OF VERBAL COMPLAINT

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:**

BANC OF AMERICA INVESTMENT SERVICES, INC.

**Allegations:**

CLIENT VERBALLY ALLEGED THAT HE WAS MISLED BY THE FINANCIAL ADVISOR IN DECEMBER 2006 WHEN HE REQUESTED A DISBURSEMENT FROM HIS ACCOUNT BECAUSE HE WAS TOLD THAT HE WOULD NEED TO REALLOCATE HIS PORTFOLIO INTO A UNIT INVESTMENT TRUST IN ORDER TO HAVE FUNDS AVAILABLE. COMPENSATORY DAMAGES UNSPECIFIED.

**Product Type:**

Unit Investment Trust(s)

**Other Product Type(s):**

MUTUAL FUND - OPEN END; DEBT - CORPORATE

**Alleged Damages:**

\$0.00

**Customer Complaint Information**

**Date Complaint Received:**

08/27/2007

**Complaint Pending?**

No

**Status:**

Settled

**Status Date:**

08/27/2007

**Settlement Amount:**

\$10,994.00

**Individual Contribution Amount:**

\$0.00



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	WELLS FARGO ADVISORS LLC
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	05/20/2009
<b>Allegations:</b>	POLICY VIOLATIONS INCLUDING FAILURE TO FOLLOW FIRM POLICY REGARDING A REGULATORY INQUIRY, DELIVERING CORRESPONDENCE WITHOUT REVIEW AND APPROVAL, AND FAILURE TO DISCLOSE AN ARREST
<b>Product Type:</b>	No Product



## End of Report

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