



## IAPD Report

# TUAN THANH LE

CRD# 3274241

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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

### TUAN THANH LE (CRD# 3274241)

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 **05/06/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	12/01/2016
<b>IA</b>	LPL FINANCIAL LLC	CRD# 6413	12/01/2016

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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>B</b>	CUSO FINANCIAL SERVICES, L.P.	42132	UPPER DARBY, PA	05/22/2013 - 11/30/2016
<b>IA</b>	CUSO FINANCIAL SERVICES, L.P.	42132	UPPER DARBY, PA	05/22/2013 - 11/30/2016
<b>B</b>	PNC INVESTMENTS	129052	ABINGTON, PA	02/22/2012 - 06/11/2013

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
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 **10** 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 Principal	Approved	12/01/2016
<b>B</b>	FINRA	General Securities Representative	Approved	12/01/2016
<b>B</b>	Delaware	Agent	Approved	12/01/2016
<b>B</b>	Florida	Agent	Approved	12/01/2016
<b>B</b>	Georgia	Agent	Approved	03/14/2017
<b>B</b>	Maine	Agent	Approved	08/18/2022
<b>B</b>	Massachusetts	Agent	Approved	12/19/2018
<b>B</b>	New Jersey	Agent	Approved	12/01/2016
<b>B</b>	New York	Agent	Approved	08/22/2020
<b>B</b>	North Carolina	Agent	Approved	10/21/2024
<b>B</b>	Pennsylvania	Agent	Approved	12/01/2016
<b>IA</b>	Pennsylvania	Investment Adviser Representative	Approved	12/01/2016
<b>B</b>	South Carolina	Agent	Approved	11/14/2023



## Qualifications

### Branch Office Locations

**LPL FINANCIAL LLC**  
600 OLD YORK ROAD  
JENKINTOWN, PA 19406

**LPL FINANCIAL LLC**  
1920 BUTLER PIKE  
CONSHOHOCKEN, PA 19428

**LPL FINANCIAL LLC**  
2795 RIDGE PIKE  
TROOPER, PA 19403

**LPL FINANCIAL LLC**  
8500 GERMANTOWN AVENUE  
PHILADELPHIA, PA 19118



## 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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	02/28/2003

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	09/28/1999

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	10/12/2006
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/30/1999

### 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	05/22/2013 - 11/30/2016	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	UPPER DARBY, PA
IA	05/22/2013 - 11/30/2016	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	UPPER DARBY, PA
B	02/22/2012 - 06/11/2013	PNC INVESTMENTS	CRD# 129052	ABINGTON, PA
IA	02/22/2012 - 06/11/2013	PNC INVESTMENTS	CRD# 129052	ABINGTON, PA
IA	10/13/2006 - 11/18/2011	CCO INVESTMENT SERVICES CORP.	CRD# 39550	PHILADELPHIA, PA
B	12/06/2005 - 11/18/2011	CCO INVESTMENT SERVICES CORP.	CRD# 39550	PHILADELPHIA, PA
B	10/23/2003 - 12/02/2005	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	ATLANTA, GA
B	05/08/2002 - 10/06/2003	CITIZENS INVESTMENT SERVICES CORP.	CRD# 39550	JOHNSTON, RI
B	11/17/2000 - 05/08/2002	DREYFUS INVESTMENT SERVICES COMPANY, LLC	CRD# 17477	PITTSBURGH, PA
B	09/30/1999 - 11/13/2000	EDWARD JONES	CRD# 250	ST. LOUIS, MO

#### 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
12/2016 - Present	LPL Financial, LLC	Registered Representative	Y	Jenkintown, PA, United States
05/2013 - Present	TRUMARK FINANCIAL CREDIT UNION	Employee/ Contractor	Y	JENKINTOWN, PA, United States
05/2013 - 11/2016	CUSO FINANCIAL SERVICES, LP	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States



## Registration & Employment History



### 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. 12/01/2016 - Investment products and services are offered through LPL Financial LLC using the DBA/trade name Trumark Financial Investor Services - Investment Related - At Reported Business Location(s)
2. 3/16/2021 - No Business Name - Investment Related - Philadelphia, PA - Real Estate Rental - Start Date: 8/10/2020 - 0 Hours Per Month/0 Hours During Securities Trading - Monthly passive income.
3. 08/25/2021 - Investment products and services are offered through LPL Financial LLC using the DBA/trade name TruMark Financial Credit Union - DBA: TruMark Financial Wealth Advisors - Investment Related - At Reported Business Location(s) - Start Date: 08/23/2021 - 160 Hours Per Month/8 Hours During Securities Trading.
4. 1/25/2022 - No Business Name - Investment Related - Ocean City, Maryland - Real Estate Rental - Started 01/03/2022 - 23 Hours Per Month/0 Hours During Securities Trading
5. 11/09/2022 - No Business Name - Investment Related - Philadelphia, PA - Real Estate Rental - Start Date - 08/10/2022 - 0 Hours Per Month/0 Hours During Securities Trading
6. 06/10/2024 - Real Estate Rental - Investment Related - Ocean City, MD - Start Date 09/29/2023 - 1 Hour Per Month/ 0 Hours During Trading
7. 04/08/2026 - Investment products and services are offered through LPL Financial LLC using the DBA/trade name TruMark Wealth Advisor - Investment Related - At Reported Business Location(s) - Start Date 04/12/2026 - 160 hours per month/ during trading
8. 04/08/2026 - Investment products and services are offered through LPL Financial LLC using the DBA/trade name TruMark Wealth Advisors - Not Investment Related - At Reported Business Location(s) - Start Date 04/12/2026 - 160 hours per month/ during trading
9. 04/14/2026 - Investment products and services are offered through LPL Financial LLC using the DBA/trade name TruMark Wealth Advisors - Not Investment Related - At Reported Business Location(s) - Start Date 04/12/2026 - 200 hours per month/ 160 hours during trading



## 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
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 1

**Reporting Source:** Firm

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

**Allegations:** CLIENTS ALLEGE THAT MR. LE CONTINUOUSLY TOLD THEM THAT THE VARIABLE ANNUITIES HE RECOMMENDED IN APRIL 2011 WOULD NOT LOSE VALUE.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$28,089.63

**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:** 11/08/2011

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 01/25/2012

**Settlement Amount:**



**Individual Contribution  
Amount:**

.....

**Reporting Source:** Individual

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

**Allegations:** CLIENTS ALLEGE THAT MR. LE CONTINUOUSLY TOLD THEM THAT THE VARIABLE ANNUITIES HE RECOMMENDED IN APRIL 2011 WOULD NOT LOSE VALUE.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$28,089.63

**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:** 11/08/2011

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 01/25/2012

**Settlement Amount:**

**Individual Contribution  
Amount:**



## 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

**Reporting Source:** Firm  
**Firm Name:** PNC INVESTMENTS  
**Termination Type:** Permitted to Resign  
**Termination Date:** 05/17/2013  
**Allegations:** TUAN LE RESIGNED WHILE UNDER INVESTIGATION. SPECIFICALLY, MR. LE ATTEMPTED TO DOWNLOAD SENSITIVE INFORMATION TO A PERSONAL USB STORAGE DEVICE, BUT THE DOWNLOAD WAS BLOCKED BY PNC SYSTEMS. THERE IS NO EVIDENCE OF THEFT OR MISAPPROPRIATION.  
**Product Type:** No Product

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**Reporting Source:** Individual  
**Firm Name:** PNC INVESTMENTS  
**Termination Type:** Permitted to Resign  
**Termination Date:** 05/17/2013  
**Allegations:** TUAN LE RESIGNED WHILE UNDER INVESTIGATION. SPECIFICALLY, MR. LE ATTEMPTED TO DOWNLOAD SENSITIVE INFORMATION TO A PERSONAL USB STORAGE DEVICE, BUT THE DOWNLOAD WAS BLOCKED BY PNC SYSTEMS. THERE IS NO EVIDENCE OF THEFT OR MISAPPROPRIATION.  
**Product Type:** No Product

**Broker Statement** IN RESPONSE TO THE TERMINATION REASON "PERMITTED TO RESIGN" AS FILED BY PNC, I WISH TO CLARIFY THE CIRCUMSTANCES REGARDING MY RESIGNATION. THE INCIDENT WAS RELATED TO MY ATTEMPT TO DOWNLOAD SAVED ASSET ALLOCATION TEMPLATES OF MY OWN CREATION AND OTHER PERSONAL FILES. I HAD NO INTENTION OF TAKING ANY SENSITIVE OR CONFIDENTIAL DATA BELONGING TO PNC. I COOPERATED FULLY WITH PNC'S INVESTIGATION AND WILLINGLY TURNED OVER THE USB DEVICE THAT WAS USED BY ME TO DOWNLOAD FILES. THE DEVICE WAS LATER RETURNED TO ME AFTER THE CONCLUSION OF PNC'S INVESTIGATION IN WHICH IT WAS DETERMINED THAT THERE WAS "NO EVIDENCE OF THEFT OR MISAPPROPRIATION" ON MY PART. I HAD EVERY INTENTION OF RESIGNING RIGHTFULLY, WHICH HAD BEEN PREVIOUSLY PLANNED AND WAS UNRELATED TO THIS ISSUE. I WAS NOT INFORMED BY PNC THAT I WOULD BE RESIGNING UNDER THEIR PERMISSION.



## End of Report

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