



IAPD Report

ANDREW LINCOLN LYON IV

CRD# 4160409

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 9
Disclosure Information	10

i 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

ANDREW LINCOLN LYON IV (CRD# 4160409)

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 **05/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	09/01/2022
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	09/06/2022

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **25** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	WINTER PARK, FL	11/04/2015 - 08/31/2022
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	WINTER PARK, FL	09/02/2015 - 08/31/2022
IA	MORGAN STANLEY	7556	ORLANDO, FL	08/22/2000 - 10/08/2003

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
Criminal	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 **25** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**
Main Address: 200 VESEY ST.
NEW YORK, NY 10281
Firm ID#: 31194

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	09/01/2022
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/01/2022
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/01/2022
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	09/01/2022
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/01/2022
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/01/2022
B Cboe Exchange, Inc.	General Securities Representative	Approved	09/01/2022
B FINRA	General Securities Representative	Approved	09/01/2022
B Investors' Exchange LLC	General Securities Representative	Approved	09/01/2022
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	09/01/2022
B MEMX LLC	General Securities Representative	Approved	09/01/2022
B MIAX PEARL, LLC	General Securities Representative	Approved	09/01/2022
B NYSE American LLC	General Securities Representative	Approved	09/01/2022



Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	General Securities Representative	Approved	09/01/2022
B NYSE National, Inc.	General Securities Representative	Approved	09/01/2022
B NYSE Texas, Inc.	General Securities Representative	Approved	09/01/2022
B Nasdaq GEMX, LLC	General Securities Representative	Approved	09/01/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	09/01/2022
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/01/2022
B Nasdaq Stock Market	General Securities Representative	Approved	09/01/2022
B Nasdaq Texas, LLC	General Securities Representative	Approved	09/01/2022
B New York Stock Exchange	General Securities Representative	Approved	09/01/2022
B Arizona	Agent	Approved	10/20/2022
B California	Agent	Approved	10/06/2022
B Colorado	Agent	Approved	10/05/2022
B Connecticut	Agent	Approved	10/05/2022
B Delaware	Agent	Approved	10/17/2022
B Florida	Agent	Approved	09/01/2022
IA Florida	Investment Adviser Representative	Approved	09/06/2022
B Georgia	Agent	Approved	10/07/2022
B Hawaii	Agent	Approved	05/06/2025
B Illinois	Agent	Approved	10/21/2022



Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	10/05/2022
B Kansas	Agent	Approved	10/07/2022
B Maryland	Agent	Approved	10/06/2022
B Massachusetts	Agent	Approved	06/25/2024
B Michigan	Agent	Approved	10/10/2022
B Minnesota	Agent	Approved	08/19/2024
B Nevada	Agent	Approved	10/18/2022
B New Jersey	Agent	Approved	10/05/2022
B New York	Agent	Approved	10/06/2022
B North Carolina	Agent	Approved	10/10/2022
B Ohio	Agent	Approved	10/06/2022
B Pennsylvania	Agent	Approved	10/06/2022
B South Carolina	Agent	Approved	10/10/2022
B Texas	Agent	Approved	10/05/2022
IA Texas	Investment Adviser Representative	Restricted Approval	10/06/2022
B Utah	Agent	Approved	10/06/2022
B Virginia	Agent	Approved	06/22/2024

Branch Office Locations

RBC CAPITAL MARKETS, LLC



Qualifications

360 Garfield Ave
Winter Park, FL 32789

RBC CAPITAL MARKETS, LLC
Maitland, FL



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 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	09/02/2015
Futures Managed Funds Examination (S31)	Series 31	06/26/2000

State Securities Law Exams

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

Uniform Combined State Law Examination (S66)	Series 66	10/29/2015
--	-----------	------------

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	11/04/2015 - 08/31/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	WINTER PARK, FL
B	09/02/2015 - 08/31/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	WINTER PARK, FL
IA	08/22/2000 - 10/08/2003	MORGAN STANLEY	CRD# 7556	ORLANDO, FL
B	08/18/2000 - 10/08/2003	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, 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
08/2022 - Present	RBC CAPITAL MARKETS, LLC	Registered Representative	Y	WINTER PARK, FL, United States
09/2015 - 08/2022	BANK OF AMERICA, N.A.	FINANCIAL ADVISOR TRAINEE	Y	WINTER PARK, FL, United States
06/2015 - 08/2022	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR TRAINEE	Y	WINTER PARK, 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.

(1) I*3720

For profit or not for profit: Governmental or Public Purpose Entity

Name of outside business organization: Oviedo High School

Investment related: N

Address of business:

Oviedo, Florida 32765

Nature of business: High School Baseball Coach,

Position, title, association: Head Baseball Coach,

Start date of relationship: 1/18/2021

Number of hours devoted: 400 hour(s) Annually

Number of hours devoted during trading hours: 0

Duties: Teach kids how to play and learn the game



Registration & Employment History



OTHER BUSINESS ACTIVITIES

(2) I*113230

FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATION

NAME OF OUTSIDE BUSINESS ORGANIZATION: POWER BASEBALL

INVESTMENT RELATED: N

ADDRESS OF BUSINESS:

EUSTIS, FLORIDA 32736

NATURE OF BUSINESS: LLC,

POSITION, TITLE, ASSOCIATION: PART-TIME,

START DATE OF RELATIONSHIP: 5/21/2018

NUMBER OF HOURS DEVOTED: 50 HOUR(S) ANNUALLY

NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0

DUTIES: I WILL BE COACHING HIGH SCHOOL BASEBALL PLAYERS DURING THE SUMMER AND FALL AFTER WORK.

(3) I*412617

For profit or not for profit: Entity For Profit

Name of outside business organization: Central Florida Thunder

Investment related: N

Address of business: Winter Park, Florida, 32789

Nature of business: ["Sole Proprietorship"]

Position, title, association: ["Other", "Treasurer"],

Start date of relationship: 6/30/2021

Number of hours devoted: 10 hour(s) Yearly

Number of hours devoted during trading hours: 0

Duties: Part-Time, I will coach young players in baseball sometimes during the year when needed.

(4) NAME: Central Florida Thunder

Non-Investment related

ADDRESS: 1020 Railroad Ave. Winter Park, FL 32789

Nature of OBA: Youth Baseball Camps and Teams

Position/Title/Relationship: Independent Contractor/Consultant

Start Date: 09/06/22

Time devoted: 1 hour per month; 0 during securities trading hours

DUTIES: Work with baseball players on their fundamentals to improve their game

(5) NAME: Power Baseball

Non-Investment related

ADDRESS: 101 N Main St Winter Garden, FL 34787-2824

Nature of OBA: Camp instructor

Position/Title/Relationship: I am a independent contractor/camp instructor

Start Date: 09/06/22

Time Devoted: 1 hour per month; 0 during securities trading hours

DUTIES: Help with camp instruction for kids baseball

6) NAME OF ENTITY: Oviedo High School

ADDRESS: 601 King St. Oviedo, FL 32765

INVESTMENT/NOT INVESTMENT RELATED: No

BUSINESS DESCRIPTION: Head Baseball Coach

CAPACITY: Other

START DATE: 09.06.22

DUTIES: I will coach baseball and manage the overall baseball program at Oviedo.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

PER MONTH: 1; SECURITIES HOURS: 0



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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	JEFFERSON DISTRICT COURT LOUSVILLE, KY DOCKET:86018-2 CASE:372980LPD
Charge Date:	04/07/1993
Charge Details:	CHARGE "POSSESSION OF A FORGED DOCUMENT" 1. 1 COUNT 2. 2ND DEGREE FELONY CHARGE 3. NOT GUILTY PLEA/AMENDED TO "NOLOP"
Felony?	Yes
Current Status:	Final
Status Date:	04/29/1993
Disposition Details:	"POSSESSION OF A FORGED INSTRUMNET" A. AMENDED TO "NO LICENSE ON POSSESSION(NOLOP) B. 04/29/1993 C. \$50 FINE AND COURT COSTS/NO PROBATION D. NO PROBATION E. PAID FINE THAT DAY 04/23/1993 F. FINE OF \$50 G. PAID ON 04/23/1993
Broker Statement	AN OFFICER FOUND AN ID ON MY PERSON THAT WAS NOT MINE. THE PICTURE LOOKED LIKE ME. HE BELIEVED IT TO BE A "FAKE"ID. IT WAS NOT A "FAKE" ID BUT ACTUALLY A REAL ID.



End of Report

This page is intentionally left blank.