



## IAPD Report

# LUCY WILLIAMS HOOPER

CRD# 733228

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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

### LUCY WILLIAMS HOOPER (CRD# 733228)

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 **01/16/2026**.

### CURRENT EMPLOYERS

|           | Firm                    | CRD#      | Registered Since |
|-----------|-------------------------|-----------|------------------|
| <b>B</b>  | DAVENPORT & COMPANY LLC | CRD# 1588 | 03/02/1981       |
| <b>IA</b> | DAVENPORT & COMPANY LLC | CRD# 1588 | 01/16/1997       |

### QUALIFICATIONS

This representative is currently registered in **4** 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 |
|------|------|----------|--------------------|
|------|------|----------|--------------------|

No information reported.

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

### Employment 1 of 1

Firm Name: **DAVENPORT & COMPANY LLC**  
Main Address: ONE JAMES CENTER  
901 EAST CARY STREET, SUITE 1100  
RICHMOND, VA 23219  
Firm ID#: 1588

| Regulator                        | Registration                        | Status   | Date       |
|----------------------------------|-------------------------------------|----------|------------|
| <b>B</b> FINRA                   | General Securities Representative   | Approved | 06/23/1981 |
| <b>B</b> FINRA                   | Municipal Securities Principal      | Approved | 12/07/2000 |
| <b>B</b> FINRA                   | General Securities Principal        | Approved | 05/17/2001 |
| <b>B</b> FINRA                   | Government Securities Principal     | Approved | 01/04/2002 |
| <b>B</b> FINRA                   | Operations Professional             | Approved | 12/08/2011 |
| <b>B</b> FINRA                   | Municipal Securities Representative | Approved | 01/16/2026 |
| <b>B</b> NYSE American LLC       | General Securities Representative   | Approved | 04/03/1988 |
| <b>B</b> NYSE American LLC       | General Securities Principal        | Approved | 08/08/2025 |
| <b>B</b> NYSE American LLC       | Municipal Securities Principal      | Approved | 08/11/2025 |
| <b>B</b> NYSE American LLC       | Municipal Securities Representative | Approved | 08/11/2025 |
| <b>B</b> Nasdaq Stock Market     | General Securities Principal        | Approved | 07/12/2006 |
| <b>B</b> Nasdaq Stock Market     | General Securities Representative   | Approved | 07/12/2006 |
| <b>B</b> New York Stock Exchange | General Securities Representative   | Approved | 04/27/1985 |



## Qualifications

| Regulator                 | Registration                        | Status   | Date       |
|---------------------------|-------------------------------------|----------|------------|
| B New York Stock Exchange | General Securities Principal        | Approved | 06/26/2010 |
| B New York Stock Exchange | Municipal Securities Principal      | Approved | 06/26/2010 |
| B New York Stock Exchange | Municipal Securities Representative | Approved | 01/16/2026 |
| B California              | Agent                               | Approved | 02/16/2024 |
| B Connecticut             | Agent                               | Approved | 07/11/2016 |
| B District of Columbia    | Agent                               | Approved | 02/07/2018 |
| B Florida                 | Agent                               | Approved | 12/12/1991 |
| B Georgia                 | Agent                               | Approved | 07/08/1993 |
| B Illinois                | Agent                               | Approved | 02/07/1989 |
| B Indiana                 | Agent                               | Approved | 06/27/2022 |
| B Maryland                | Agent                               | Approved | 09/07/1988 |
| B New Mexico              | Agent                               | Approved | 10/21/2020 |
| B New York                | Agent                               | Approved | 04/02/2025 |
| B North Carolina          | Agent                               | Approved | 09/07/1989 |
| B South Carolina          | Agent                               | Approved | 03/02/2023 |
| B Tennessee               | Agent                               | Approved | 07/08/2015 |
| B Texas                   | Agent                               | Approved | 12/04/2020 |
| B Virginia                | Agent                               | Approved | 12/31/1981 |
| IA Virginia               | Investment Adviser Representative   | Approved | 01/16/1997 |



### Qualifications

| Regulator              | Registration | Status   | Date       |
|------------------------|--------------|----------|------------|
| <b>B</b> West Virginia | Agent        | Approved | 03/02/2023 |
| <b>B</b> Wisconsin     | Agent        | Approved | 05/22/2000 |

### Branch Office Locations

**DAVENPORT & COMPANY LLC**  
ONE JAMES CENTER  
901 E. CARY STREET, SUITE 1100  
RICHMOND, VA 23219





## 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 2 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
|  Municipal Securities Principal Examination (S53) | Series 53 | 11/28/2000 |
|  General Securities Principal Examination (S24)   | Series 24 | 04/27/1994 |

#### General Industry/Product Exams

| Exam  | Category    | Date       |
|---|-------------|------------|
|  Municipal Securities Representative Examination (S52TO) | Series 52TO | 08/11/2025 |
|  Operations Professional Examination (S99TO)             | Series 99TO | 01/02/2023 |
|  Securities Industry Essentials Examination (SIE)        | SIE         | 10/01/2018 |
|  Interest Rate Options Examination (S5)                  | Series 5    | 12/27/1982 |
|  General Securities Representative Examination (S7)      | Series 7    | 06/20/1981 |
|  Municipal Securities Representative Examination (S52)   | Series 52   | 03/06/1979 |

#### State Securities Law Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
|  Uniform Investment Adviser Law Examination (S65)     | Series 65 | 03/11/1992 |
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 06/26/1981 |



## 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:



No information reported.

### 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           |
|-------------------|-----------------------------|------------------------|--------------------|-----------------------------|
| 06/1981 - Present | DAVENPORT & COMPANY LLC     | OTHER - Representative | Y                  | RICHMOND, VA, United States |
| 03/1981 - Present | #IA DAVENPORT & COMPANY LLC | NOT PROVIDED           | N                  | RICHMOND, VA, 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.

RANDOLPH COLLEGE - NOT INVESTMENT-RELATED - LYNCHBURG, VA - HIGHER EDUCATION - CHAIR OF THE BOARD'S INVESTMENT COMMITTEE - 1 TO 5 HOURS/MONTH DURING NON-BUSINESS HOURS - 1 TO 5 HOURS/MONTH DURING TRADING HOURS - MEET QUARTERLY WITH COMMITTEE AND REVIEW INVESTMENT POLICY AND PERFORMANCE

Grace Church -NOT INVESTMENT-RELATED - Kilmarnock, VA - Co-Treasurer -Assist with the financial reporting and management for the church -TO 5 HOURS/MONTH DURING NON-BUSINESS HOURS - 1 TO 5 HOURS/MONTH DURING TRADING HOURS

Randolph-Macon Academy- Not Investment Related - Front Royal VA 22630 - Trustee, Chair of Board -Attend meetings and conference calls in the capacity of trustee of the school. Approximate number of hours/month you devote to this outside activity during business hours: 1 - 5 Hours. Approximate number of hours/month you devote to this outside activity during non-business hours: > 10 Hours



## 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:** Individual

**Employing firm when activities occurred which led to the complaint:** DAVENPORT & COMPANY LLC

**Allegations:** [CUSTOMER] REQUESTED AN UNSOLICITED PURCHASE OF 100,000 ISON ON 10/11/05. RR UNDERSTOOD ORDER WAS FOR 100,000 SHARES, UPON EXECUTION SHE CALLED THE CLIENT TO CONFIRM THE TRADE AND INFORMED HIM THE DOLLAR AMOUNT DUE WAS \$221,460. CLIENT INDICATED THAT HE HAD INTENDED TO PURCHASE \$100,000 OF ISON, NOT 100,000 SHARES, BUT LET THE TRADE STAND; HE THEN SENT IN A CHECK PAYING THE ENTIRE \$221,460. RR CONTACTED CLIENT ON 6/9/06 REGARDING THE UNREALIZED LOSS IN THE SECURITY; AT THAT TIME THE CLIENT INDICATED HE DID NOT WISH TO SELL AND THAT HE HAD CONTACTED THE PRESIDENT OF ISON. THERE WAS NO FURTHER COMMUNICATION FROM CLIENT UNTIL EARLY DEC 07. AT THAT TIME A LETTER WAS RECEIVED THAT DID NOT SPECIFY HIS WISHES BUT SUGGESTED THAT THE MANAGEMENT OF DAVENPORT SHOULD LOOK INTO THE SITUATION. CLIENT WAS UNAVAILABLE TO MEET WITH MANAGEMENT UNTIL 4/01/08 AT WHICH TIME HE QUANTIFIED HIS CONCERN.

**Product Type:** Equity-OTC

**Alleged Damages:** \$118,000.00

**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:** 12/06/2007

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/24/2009

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** AS A GESTURE OF GOOD-WILL THE CLAIM WAS SETTLED WITHOUT DIRECT MONETARY COMPENSATION; CLIENT AGREED TO FREE MANAGEMENT SERVICES FOR A PERIOD OF TIME.



## End of Report

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