BrokerCheck Report

THOMAS ZUBRYCKI

CRD# 1063235

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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

THOMAS ZUBRYCKI

CRD# 1063235

Currently employed by and registered with the following Firm(s):

IA **LPL FINANCIAL LLC**
25 POCONO ROAD
DENVILLE, NJ 07834
CRD# 6413
Registered with this firm since: 02/14/2018

B **LPL FINANCIAL LLC**
913 KINDERKAMACK RD
RIVER EDGE, NJ 07661
CRD# 6413
Registered with this firm since: 02/14/2018

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 13 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

IA **INVEST FINANCIAL CORPORATION**
CRD# 12984
APPLETON, WI
04/2016 - 02/2018

B **INVEST FINANCIAL CORPORATION**
CRD# 12984
BASKING RIDGE, NJ
04/2016 - 02/2018

B **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
PLUCKEMIN, NJ
04/2013 - 05/2016

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 13 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY**
FORT MILL, SC 29715

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	02/14/2018

	U.S. State/ Territory	Category	Status	Date
B	Delaware	Agent	Approved	02/14/2018
IA	Delaware	Investment Adviser Representative	Approved	02/14/2018
B	District of Columbia	Agent	Approved	07/15/2020
B	Florida	Agent	Approved	07/15/2020
B	Illinois	Agent	Approved	07/21/2025
B	Maryland	Agent	Approved	07/16/2020
B	Montana	Agent	Approved	07/24/2025
B	New Jersey	Agent	Approved	02/14/2018
IA	New Jersey	Investment Adviser Representative	Approved	02/14/2018
B	New York	Agent	Approved	02/14/2018
IA	New York	Investment Adviser Representative	Approved	08/03/2021
B	North Carolina	Agent	Approved	07/20/2020

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	02/14/2018
IA	Pennsylvania	Investment Adviser Representative	Approved	02/14/2018
B	Puerto Rico	Agent	Approved	07/15/2020
B	South Carolina	Agent	Approved	06/18/2019
B	Virgin Islands	Agent	Approved	07/21/2025

Branch Office Locations

LPL FINANCIAL LLC
913 KINDERKAMACK RD
RIVER EDGE, NJ 07661

LPL FINANCIAL LLC
73 MOUNTAINVIEW BLVD
BASKING RIDGE, NJ 07920

LPL FINANCIAL LLC
1098 MOUNT KEMBLE AVE
MORRISTOWN, NJ 07960

LPL FINANCIAL LLC
35 BARDONIA RD
BARDONIA, NY 10954

LPL FINANCIAL LLC
35 S LIBERTY DR 9W
STONY POINT, NY 10980

LPL FINANCIAL LLC
400 W BLACKWELL ST
DOVER, NJ 07801

LPL FINANCIAL LLC
1153 BLOOMFIELD
CLIFTON, NJ 07012

LPL FINANCIAL LLC

Broker Qualifications

Employment 1 of 1, continued

25 POCONO ROAD
DENVILLE, NJ 07834

LPL FINANCIAL LLC
275 US 202 - 31
FLEMINGTON, NJ 08822

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam	Series 55	09/12/2002
B	General Securities Representative Examination	Series 7	10/16/1982

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	04/25/2008
B	Uniform Securities Agent State Law Examination	Series 63	07/28/1994

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	04/2016 - 02/2018	INVEST FINANCIAL CORPORATION	12984	BASKING RIDGE, NJ
IA	04/2016 - 02/2018	INVEST FINANCIAL CORPORATION	12984	BASKING RIDGE, NJ
B	04/2013 - 05/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	PLUCKEMIN, NJ
IA	04/2013 - 05/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	PLUCKEMIN, NJ
B	10/2011 - 01/2013	MORGAN STANLEY	149777	BEDMINSTER, NJ
IA	10/2011 - 01/2013	MORGAN STANLEY	149777	BEDMINSTER, NJ
IA	09/2010 - 08/2011	R. SEELAUS & CO., INC.	14974	SUMMIT, NJ
B	09/2010 - 08/2011	R. SEELAUS & CO.,INC.	14974	SUMMIT, NJ
IA	07/2009 - 09/2010	METLIFE SECURITIES INC.	14251	CRANFORD, NJ
B	07/2009 - 09/2010	METLIFE SECURITIES INC.	14251	CRANFORD, NJ
B	08/2008 - 04/2009	ALLSTATE FINANCIAL SERVICES, LLC	18272	BUDD LAKE, NJ
IA	05/2008 - 06/2008	EDWARD JONES	250	OLDWICK, NJ
B	04/2008 - 06/2008	EDWARD JONES	250	OLDWICK, NJ
B	04/2004 - 12/2007	SG AMERICAS SECURITIES, LLC	128351	NEW YORK, NY
B	07/2002 - 04/2004	SG COWEN SECURITIES CORPORATION	7616	NEW YORK, NY
B	02/2002 - 07/2002	GFI SECURITIES LLC	19982	NEW YORK, NY
B	04/1999 - 02/2001	ABN AMRO INCORPORATED	15776	STAMFORD, CT
B	11/1987 - 04/1999	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B	06/1987 - 12/1987	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	
B	07/1985 - 03/1987	DEAN WITTER REYNOLDS INC.	7556	

Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	08/1984 - 07/1985	DREXEL BURNHAM LAMBERT INCORPORATED	7323	
B	10/1982 - 05/1984	DEAN WITTER REYNOLDS INC.	7556	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
02/2018 - Present	LPL FINANCIAL LLC	Mass Transfer	Y	ORADELL, NJ, United States
04/2016 - Present	Affinity Federal Credit Union	Credit Union Employee	N	Basking Ridge, NJ, United States
04/2016 - Present	INVEST Financial Corp.	Registered Rep	Y	Tampa, FL, United States
05/2013 - 04/2016	BANK OF AMERICA, N.A.	FINANCIAL SOLUTIONS ADVISOR	Y	PENNINGTON, NJ, United States
04/2013 - 04/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL SOLUTIONS ADVISOR	Y	PENNINGTON, NJ, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. 02/14/2018 - Affinity Investment Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business).

End of Report

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