

BrokerCheck Report

MARK DENNIS VANLEEUEWEN

CRD# 1139666

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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.

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:
 - o 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
 - o 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.

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.

**MARK D. VANLEEUEWEN**

CRD# 1139666

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

IA VAN LEEUWEN RETIREMENT & INVESTMENT SERVICES
 808 WEST MAIN STREET
 RICHMOND, KY 40475
 CRD# 289463
 Registered with this firm since: 09/12/2017

B LPL FINANCIAL LLC
 808 W MAIN ST
 LPL FINANCIAL
 RICHMOND, KY 40475-1101
 CRD# 6413
 Registered with this firm since: 07/01/2009

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
- 34 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

- IA LPL FINANCIAL LLC**
 CRD# 6413
 FORT MILL, SC
 11/2015 - 01/2018
- IA LPL FINANCIAL LLC**
 CRD# 6413
 FORT MILL, SC
 07/2009 - 10/2015
- IA LPL FINANCIAL CORPORATION**
 CRD# 6413
 FORT MILL, SC
 09/1998 - 07/2009

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 34 U.S. states and territories through his or her employer.

Employment 1 of 2

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 Principal	Approved	07/01/2009
B	FINRA	General Securities Representative	Approved	07/01/2009

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/01/2009
B	Arizona	Agent	Approved	07/01/2009
B	Arkansas	Agent	Approved	09/04/2012
B	California	Agent	Approved	02/28/2011
B	Colorado	Agent	Approved	07/19/2010
B	Connecticut	Agent	Approved	06/08/2011
B	Florida	Agent	Approved	07/01/2009
B	Georgia	Agent	Approved	07/01/2009
B	Illinois	Agent	Approved	07/01/2009
B	Indiana	Agent	Approved	07/01/2009
B	Kansas	Agent	Approved	07/01/2009

Broker Qualifications



Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Kentucky	Agent	Approved	07/01/2009
B	Louisiana	Agent	Approved	07/29/2014
B	Massachusetts	Agent	Approved	03/13/2012
B	Michigan	Agent	Approved	07/01/2009
B	Minnesota	Agent	Approved	04/09/2014
B	Mississippi	Agent	Approved	10/15/2024
B	Missouri	Agent	Approved	07/01/2009
B	New Hampshire	Agent	Approved	07/01/2009
B	New Jersey	Agent	Approved	07/01/2009
B	New Mexico	Agent	Approved	06/13/2019
B	New York	Agent	Approved	07/01/2009
B	North Carolina	Agent	Approved	07/01/2009
B	Ohio	Agent	Approved	07/01/2009
B	Oklahoma	Agent	Approved	07/01/2009
B	Oregon	Agent	Approved	09/06/2011
B	Pennsylvania	Agent	Approved	11/05/2013
B	Rhode Island	Agent	Approved	10/15/2024
B	South Carolina	Agent	Approved	07/01/2009
B	Tennessee	Agent	Approved	07/01/2009
B	Texas	Agent	Approved	07/01/2009
B	Virginia	Agent	Approved	07/01/2009



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	West Virginia	Agent	Approved	07/01/2009
B	Wisconsin	Agent	Approved	07/01/2009

Branch Office Locations

LPL FINANCIAL LLC

808 W MAIN ST
LPL FINANCIAL
RICHMOND, KY 40475-1101

Employment 2 of 2

Firm Name: **VAN LEEUWEN RETIREMENT & INVESTMENT SERVICES**
Main Office Address: **808 WEST MAIN STREET**
RICHMOND, KY 40475
Firm CRD#: **289463**

	U.S. State/ Territory	Category	Status	Date
IA	Kentucky	Investment Adviser Representative	Approved	09/12/2017
IA	Texas	Investment Adviser Representative	Approved	11/18/2021

Branch Office Locations

808 WEST MAIN STREET
RICHMOND, KY 40475



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	11/16/1998

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/21/1984

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	02/10/1984

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
IA 11/2015 - 01/2018	LPL FINANCIAL LLC	6413	LEXINGTON, KY
IA 07/2009 - 10/2015	LPL FINANCIAL LLC	6413	LEXINGTON, KY
B 09/1998 - 07/2009	LPL FINANCIAL CORPORATION	6413	RICHMOND, KY
IA 09/1998 - 07/2009	LPL FINANCIAL CORPORATION	6413	RICHMOND, KY
B 01/1984 - 09/1998	EDWARD D. JONES & CO., L.P.	250	ST. LOUIS, MO

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
08/2017 - Present	Van Leeuwen Retirement & Investment Services	Investment Adviser Representative	Y	Richmond, KY, United States
09/1998 - Present	LPL FINANCIAL, LLC	Registered Representative	Y	RICHMOND, KY, 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. 10/30/2009: Van Leeuwen Retirement & Investment Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business).
2. 1/12/2016: JSA at Highland, LLC - Investment Related - 4880 Athens Walnut Hill Pike, Lexington KY - Business Entity For Tax/Investment Purposes Only - Started 12/28/2015 - 1 Hours Per Month/0 Hours During Securities Trading.
3. 01/03/2018 - Van Leeuwen & Associates, Inc. - DBA: Van Leeuwen Retirement & Investment Svcs - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Start Date 09/15/2017 - 50 Hours Per Month / 40 Hours During Trading - I

Registration and Employment History



Other Business Activities, continued

provide investment advisory services through Van Leeuwen & Associates, Inc., an independent investment advisor firm. I started this business activity in 09/2017. I expect to spend approximately 50 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.

4. 3/20/2018 - Van Leeuwen & Associates - Not Investment Related - At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only - Started 09/11/1998 - 0 Hours Per Month.

5. 6/18/2021 - No Business Name - Investment Related - Sarasota, FL - Real Estate Rental - Start Date: 7/8/2021 - 1 Hours Per Month/0 Hours During Securities Trading.

6. 11/08/2022 - No Business Name - Investment Related - Lexington KY 40517 - Real Estate Rental - Start Date: 12/01/2022 - 1 Hours Per Month/0 Hours During Securities Trading.

End of Report



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