

## BrokerCheck Report

# THOMAS WILLIAM VAN DYCK

CRD# 1225822

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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.

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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)

**THOMAS W. VAN DYCK**

CRD# 1225822

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

**IA RBC CAPITAL MARKETS, LLC**  
 345 CALIFORNIA STREET  
 SAN FRANCISCO, CA 94104  
 CRD# 31194  
 Registered with this firm since: 08/25/2006

**B RBC CAPITAL MARKETS, LLC**  
 345 CALIFORNIA STREET  
 SAN FRANCISCO, CA 94104-2642  
 CRD# 31194  
 Registered with this firm since: 08/25/2006

**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:**

- 22 Self-Regulatory Organizations
- 36 U.S. states and territories

**This broker has passed:**

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

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

- IA UBS FINANCIAL SERVICES INC.**  
 CRD# 8174  
 WEEHAWKEN, NJ  
 08/2006 - 09/2006
- B UBS FINANCIAL SERVICES INC.**  
 CRD# 8174  
 SAN FRANCISCO, CA  
 08/2006 - 09/2006
- IA PIPER JAFFRAY & CO.**  
 CRD# 665  
 MINNEAPOLIS, MN  
 06/1998 - 08/2006

**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 22 SROs and is licensed in 36 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Office Address: **3 WORLD FINANCIAL CENTER  
200 VESEY ST.  
NEW YORK, NY 10281**

Firm CRD#: **31194**

SRO	Category	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	08/25/2006
B FINRA	General Securities Representative	Approved	08/25/2006
B FINRA	Municipal Securities Principal	Approved	08/25/2006
B FINRA	Municipal Securities Representative	Approved	07/13/2021
B Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/02/2020
B MEMX LLC	General Securities Representative	Approved	11/01/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/01/2020
B NYSE American LLC	General Securities Representative	Approved	08/25/2006



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
B NYSE American LLC	Municipal Securities Principal	Approved	08/25/2006
B NYSE American LLC	Municipal Securities Representative	Approved	07/13/2021
B NYSE Arca, Inc.	General Securities Representative	Approved	08/25/2006
B NYSE Chicago, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B NYSE National, Inc.	Municipal Securities Principal	Approved	11/18/2020
B NYSE National, Inc.	Municipal Securities Representative	Approved	11/18/2020
B Nasdaq BX, Inc.	General Securities Representative	Approved	01/13/2009
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	03/01/2008
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/01/2008
B Nasdaq Stock Market	General Securities Representative	Approved	08/25/2006
B New York Stock Exchange	General Securities Representative	Approved	08/25/2006
B New York Stock Exchange	Municipal Securities Principal	Approved	06/26/2010
B New York Stock Exchange	Municipal Securities Representative	Approved	07/13/2021

U.S. State/ Territory	Category	Status	Date
B Alaska	Agent	Approved	08/04/2014
B Arizona	Agent	Approved	10/28/2014
B California	Agent	Approved	08/25/2006
IA California	Investment Adviser Representative	Approved	08/25/2006
B Colorado	Agent	Approved	08/25/2006



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	08/25/2006
B	Delaware	Agent	Approved	12/05/2008
B	District of Columbia	Agent	Approved	08/25/2006
B	Florida	Agent	Approved	08/25/2006
B	Georgia	Agent	Approved	10/15/2010
B	Hawaii	Agent	Approved	10/02/2007
B	Illinois	Agent	Approved	05/13/2015
B	Maine	Agent	Approved	08/25/2006
B	Maryland	Agent	Approved	08/25/2006
B	Massachusetts	Agent	Approved	08/25/2006
B	Michigan	Agent	Approved	02/03/2016
B	Minnesota	Agent	Approved	08/25/2006
B	Missouri	Agent	Approved	07/13/2021
B	Montana	Agent	Approved	07/03/2007
B	Nevada	Agent	Approved	08/03/2020
B	New Jersey	Agent	Approved	08/25/2006
B	New Mexico	Agent	Approved	08/25/2006
B	New York	Agent	Approved	08/25/2006
B	North Carolina	Agent	Approved	08/25/2006
B	Ohio	Agent	Approved	07/01/2010
B	Oregon	Agent	Approved	08/25/2006



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	08/25/2006
B	Rhode Island	Agent	Approved	09/22/2021
B	South Carolina	Agent	Approved	10/20/2021
B	Tennessee	Agent	Approved	03/24/2009
B	Texas	Agent	Approved	08/25/2006
IA	Texas	Investment Adviser Representative	Approved	08/25/2006
B	Utah	Agent	Approved	02/14/2013
B	Vermont	Agent	Approved	12/09/2019
B	Virginia	Agent	Approved	08/25/2006
B	Washington	Agent	Approved	08/24/2006
B	Wisconsin	Agent	Approved	01/10/2014
B	Wyoming	Agent	Approved	05/12/2015

### Branch Office Locations

**RBC CAPITAL MARKETS, LLC**  
 345 CALIFORNIA STREET  
 SAN FRANCISCO, CA 94104-2642



## 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.

**This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Municipal Securities Principal Examination	Series 53	11/10/1988

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Municipal Securities Representative Examination	Series 52TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	01/21/1984

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	01/08/2003
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	02/08/1984

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/](http://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>B</b> 08/2006 - 09/2006	UBS FINANCIAL SERVICES INC.	8174	SAN FRANCISCO, CA
<b>IA</b> 08/2006 - 09/2006	UBS FINANCIAL SERVICES INC.	8174	SAN FRANCISCO, CA
<b>IA</b> 06/1998 - 08/2006	PIPER JAFFRAY & CO.	665	SAN FRANCISCO, CA
<b>B</b> 05/1997 - 08/2006	PIPER JAFFRAY & CO.	665	SAN FRANCISCO, CA
<b>B</b> 03/1988 - 05/1997	PROGRESSIVE ASSET MANAGEMENT, INC.	20633	SAN RAFAEL, CA
<b>B</b> 01/1984 - 01/1988	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
02/2017 - Present	City National Bank	Employee of an affiliate	Y	San Francisco, CA, United States
03/2008 - Present	RBC CAPITAL MARKETS, LLC	FINANCIAL CONSULTANT	Y	SAN FRANCISCO, CA, 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) AS YOU SOW; ADDRESS: 1611 TELEGRAPH AVE SUITE 1450 OAKLAND, CA 94612; BUSINESS DESCRIPTION: NON-PROFIT CORPORATE RESPONSIBILITY; NOT INVESTMENT RELATED; START DATE: 06/01/1992; CAPACITY: BOARD OF DIRECTORS; DUTIES: BOARD MEMBER, FUNDRAISING, STRATEGY, VISIONARY; HOURS DEVOTED PER WEEK: LESS THAN 4; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 0

(2) NAME OF ENTITY: RENTAL PROPERTY;

## Registration and Employment History



### Other Business Activities, continued

ADDRESS: PERSONAL RESIDENCE;  
NOT INVESTMENT RELATED;  
BUSINESS DESCRIPTION: RENTAL PROPERTY;  
CAPACITY: OWNER-ACTIVE;  
START DATE: 10/2019;  
DUTIES: RENTAL PROPERTY UPKEEP;  
HOURS DEVOTED PER MONTH: 1;  
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0;

(3) As You Sow 1611 Telegraph Avenue, Suite 1450 Oakland, CA 94612 Non-profit B Corporate Responsibility 06/01/92 Yes We provide an investment tool for educational purposes as the disclaimer on the website clearly states. Board of Directors \*Board member, fundraising, strategy, creates a vision business plan that the non-profit executes on. less than 4 hours week 0

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## End of Report



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