



## IAPD Report

# MARK STEVEN ROBERTSON

CRD# 4417116

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**i** Please be aware that fraudsters may link to Investment Adviser Public Disclosure 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.



## 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

### MARK STEVEN ROBERTSON (CRD# 4417116)

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 **12/22/2020**.

### CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.




### QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

**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
	SECURITIES AMERICA ADVISORS, INC.	110518	HENDERSON, NV	11/14/2014 - 12/31/2020
	SUNSET FINANCIAL SERVICES, INC.	3538	HENDERSON, NV	09/10/2009 - 11/14/2014
	BENEFICIAL INVESTMENT SERVICES, INC.	136433	HENDERSON, NV	07/28/2008 - 09/10/2009

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? **No**



## 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 not currently registered as an Investment Adviser Representative.



## 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, 0 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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No information reported.

#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> <b>B</b>	Uniform Combined State Law Examination (S66)	Series 66	07/06/2001
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



### 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	11/14/2014 - 12/31/2020	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	HENDERSON, NV
IA	09/10/2009 - 11/14/2014	SUNSET FINANCIAL SERVICES, INC.	CRD# 3538	HENDERSON, NV
IA	07/28/2008 - 09/10/2009	BENEFICIAL INVESTMENT SERVICES, INC.	CRD# 136433	HENDERSON, NV
IA	08/01/2006 - 07/24/2008	PLANMEMBER SECURITIES CORPORATION	CRD# 11869	HENDERSON, NV
IA	07/07/2005 - 08/31/2006	ALLEGIS ADVISORS, INC.	CRD# 131242	SALT LAKE CITY, UT
IA	09/13/2001 - 06/27/2005	ESI FINANCIAL ADVISORS	CRD# 265	HENDERSON, NV

#### 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
11/2014 - Present	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	LA VISTA, NE, United States
11/2014 - Present	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	HENDERSON, NV, United States
09/2009 - 11/2014	SUNSET FINANCIAL SERVICES	REGISTERED REP	Y	KANSAS CITY, MO, United States
08/2009 - 11/2014	KANSAS CITY LIFE INSURANCE COMPANY	GENERAL AGNET	N	KANSAS CITY, MO, 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) LESL LLC  
 POSITION: OWNER NATURE: RENTAL REAL ESTATE PROPERTIES INVESTMENT RELATED: NO NUMBER OF HOURS: 5  
 SECURITIES TRADING HOURS: 3 START DATE: 01/01/1998  
 ADDRESS: 54 N. PECOS RD, SUITE A, HENDERSON NV 89074  
 DESCRIPTION: I OWN AND MANAGE RESIDENTAL AND COMMERCIAL PROPERTIES.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

#### 2) RDJ FINANCIAL ARCHITECTS

POSITION: INSURANCE AGENT NATURE: INSURANCE SALES INVESTMENT RELATED: YES NUMBER OF HOURS: 50  
SECURITIES TRADING HOURS: 50 START DATE: 04/01/2001  
ADDRESS: 54 N. PECOS RD, SUITE A, HENDERSON NV 89074  
DESCRIPTION: SALE OF FIXED AND INDEX INSURANCE PRODUCTS

#### 3) US ARMY RESERVES

POSITION: LIEUTENANT COLONEL NATURE: US MILITARY SERVICE INVESTMENT RELATED: NO NUMBER OF HOURS:  
40 SECURITIES TRADING HOURS: 20 START DATE: 12/01/1976  
ADDRESS: JECC ARE, NORFOLK VA 23511  
DESCRIPTION: MILITARY DUTIES.

#### 4) CPA FINANCIAL ARCHITECTS

POSITION: TAX PREPARER NATURE: TAX AND ACCOUNTING SERVICES INVESTMENT RELATED: NO NUMBER OF  
HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 01/01/2012  
ADDRESS: 54 N. PECOS ROAD, SUITE A, HENDERSON NV 89074  
DESCRIPTION: TAX PREPARATION AND ACCOUNTING SERVICES.

5) SECURITIES AMERICA ADVISORS - INVESTMENT ADVISORY - INVESTMENT REPRESENTATIVE ADVISORS -  
INVESTMENT RELATED - START DATE 11/2014 - LOCATED AT 54 N PECOS RD STE A, HENDERSON NV 89074-7330

#### UNLV ADJUNCT FACULTY

POSITION: ADJUNCT FACULTY NATURE: PART-TIME ADJUNCT FACULTY MEMBER AT UNIVERSITY OF NEVADA, LAS  
VEGAS (UNLV) INVESTMENT RELATED: NO NUMBER OF HOURS: 12 SECURITIES TRADING HOURS: 12 START DATE:  
01/01/2008  
ADDRESS: 4505 S. MARYLAND PKWY, LAS VEGAS NV 89154  
DESCRIPTION: TEACH A CLASS CORPORATE FINANCIAL STATEMENTS IN THE COLLEGE OF HOSPITALITY



## End of Report

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