

BrokerCheck Report

MARK THOMAS LAMKIN

CRD# 2121510

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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.



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

Thank you for using FINRA BrokerCheck.

MARK T. LAMKIN

CRD# 2121510

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

LPL FINANCIAL LLC
CRD# 6413
LOUISVILLE, KY
02/2001 - 09/2018

PNC BROKERAGE CORP
CRD# 34671
PITTSBURGH, PA
06/1994 - 01/2001

GNA SECURITIES, INC.
CRD# 10465
RICHMOND, VA
10/1991 - 05/1994

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	1
Termination	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	04/20/2001

General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination	Series 6	02/04/1991
General Securities Representative Examination	Series 7	06/17/1994

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	02/21/1991
Uniform Investment Adviser Law Examination	Series 65	08/01/2001

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
02/2001 - 09/2018	LPL FINANCIAL LLC	6413	LOUISVILLE, KY
06/1994 - 01/2001	PNC BROKERAGE CORP	34671	PITTSBURGH, PA
10/1991 - 05/1994	GNA SECURITIES, INC.	10465	RICHMOND, VA
02/1991 - 10/1991	EQUICO SECURITIES, INC.	6627	NEW YORK, NY
02/1991 - 10/1991	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	NEW YORK, NY

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 Dates	Employer Name	Employer Location
09/2018 - Present	AE WEALTH MANAGEMENT	TOPEKA, KS
10/2003 - Present	LAMKIN WEALTH MANAGEMENT	LOUISVILLE, KY
01/2001 - 09/2018	LPL FINANCIAL LLC	LOUISVILLE, KY

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) 11/15/2005: No Business Name - Author - Not Investment Related - 901 Lily Creek Rd Louisville, KY 40243 - Marketing book titled "The Millionaires Roadmap" - 0 hrs per month/0 hrs per trading hours

(2) 08/08/2016: Louisville Wealth Management - Non-Variable Insurance - Investment Related - 901 lily creek road Louisville, ky 40243 - Start 01/01/2010 - 10 Hr/Mo; 1 Hour During Securities Trading

(3) 10/4/2017 - Bearno's 502 - Not Investment Related Owner - 10117 Taylorsville Rd., Jeffersontown, KY 40299 - Pizza

Registration and Employment History



Other Business Activities, continued

Restaurant and Sports Bar - Co-Owner - Started 07/31/2017 - 8 Hours Per Month/1 Hour During Securities Trading.



Disclosure Events

What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	1	0	N/A



Termination	N/A	2	N/A
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Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	CUSTOMER ALLEGES EXCESSIVE SELLING OF ANNUITIES, MISREPRESENTING OR FAILING TO DISCLOSE MATERIAL FACTS, UNSUITABILITY OF PRODUCTS AND ALTERATION OF ACCOUNT PROFILES.
Product Type:	Annuity-Variable Real Estate Security
Alleged Damages:	\$153,554.00
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:	08/13/2018
Complaint Pending?	Yes
Settlement Amount:	



**Individual Contribution
Amount:**

Broker Statement

Mr. Lamkin denies any wrongdoing. There is no further comment as the matter is still pending.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source:	Firm
Employer Name:	LPL Financial LLC
Termination Type:	Discharged
Termination Date:	08/17/2018
Allegations:	Allegations that advisor received and/or benefitted from loans from Firm customers, failed to disclose and inadequately disclosed outside business activities, and personally engaged in and solicited other investors to participate in private investments without obtaining Firm approval.
Product Type:	No Product

Disclosure 2 of 2

Reporting Source:	Broker
Employer Name:	PNC BROKERAGE
Termination Type:	Voluntary Resignation
Termination Date:	12/18/2000
Allegations:	PNC BROKERAGE CORP. WAS INVESTIGATING THE NATURE AND PURPOSE OF FUNDS TRANSFERRED BETWEEN MR. LAMKIN AND A WORK ASSOCIATE. ALTHOUGH THIS INVESTIGATION WAS INCONCLUSIVE PNC BROKERAGE CORP. DETERMINED THAT MR. LAMKIN FAILED TO REPORT TO MANAGEMENT THAT A WORK ASSOCIATE ACCESSED LAMKIN'S BANK ACCOUNT WITHOUT LAMKIN'S KNOWLEDGE.
Product Type:	No Product
Other Product Types:	
Broker Statement	UPON DISCOVERING THE ACTIVITY OF MY ASSOCIATE, I CORRECTED HIS BEHAVIOR AND ASCERTAINED THAT IT WOULD NEVER HAPPEN AGAIN AND IT DID NOT. NINE MONTHS LATER, DURING AN INVESTIGATION OF THIS ASSOCIATE, I DISCLOSED THE ABOVE MENTIONED ACTIVIITY TO PNC BROKERAGE.

End of Report



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