

BrokerCheck Report

MARK CHRISTOPHER PERRY

CRD# 2197284

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7

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

MARK C. PERRY

CRD# 2197284

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:

- 2 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):

- B** **BROKERS INTERNATIONAL FINANCIAL SERVICES, LLC.**
CRD# 139627
URBANDALE, IA
01/2017 - 07/2019
- B** **AXA ADVISORS, LLC**
CRD# 6627
INDIANAPOLIS, IN
07/2014 - 02/2015
- B** **NEXT FINANCIAL GROUP, INC.**
CRD# 46214
CARMEL, IN
04/2014 - 07/2014

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	2
Judgment/Lien	4

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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Fund Securities Principal Examination	Series 51	07/17/2003
B Investment Company Products/Variable Contracts Principal Examination	Series 26	06/17/1999

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/19/2000
B Investment Company Products/Variable Contracts Representative Examination	Series 6	01/06/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/28/1999
B Uniform Securities Agent State Law Examination	Series 63	02/07/1996

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 01/2017 - 07/2019	BROKERS INTERNATIONAL FINANCIAL SERVICES, LLC.	139627	URBANDALE, IA
B 07/2014 - 02/2015	AXA ADVISORS, LLC	6627	INDIANAPOLIS, IN
B 04/2014 - 07/2014	NEXT FINANCIAL GROUP, INC.	46214	CARMEL, IN
B 01/1992 - 02/2012	PRUCO SECURITIES, LLC.	5685	CARMEL, IN
B 01/1992 - 12/1993	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	680	NEWARK, NJ

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
01/2017 - Present	Brokers International Financial Services, LLC.	Registered Representative/Investment Advisor Rep	Y	Carmel, IN, United States
12/2016 - Present	Brendanwood Investment Group	Manager	Y	Carmel, IN, United States
11/2015 - 12/2016	Professions Inc.	Manager	Y	Carmel, IN, United States
02/2015 - 11/2015	Mark Perry	Agent	Y	Carmel, IN, United States
07/2014 - 02/2015	AXA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
02/2014 - 07/2014	NEXT FINANCIAL GROUP INC	REGISTERED REP	Y	HOUSTON, TX, United States
02/2012 - 02/2014	UNEMPLOYED	UNEMPLOYED	N	CARMEL, IN, United States
11/1991 - 02/2012	PRUCO SECURITIES CORPORATION	TVP	Y	CARMEL, IN, United States

Registration and Employment History



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.

Brendanwood Financial Brokerage 9650 N. Commerce Dr. Suite 523 Carmel, Indiana 46032 Fixed Business operations EVP, Distribution 11/2016
Hours per month 180 Hours trading hours 140 Responsible for operations oversight



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	2	0	N/A
Judgment/Lien	4	N/A	N/A



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Brokers International Financial Services, LLC
Allegations:	Arbitration claims Insurance Agent took checks made payable to his firm totaling \$150,000 and converted it for personal use. Firm and Rep are named as responsible for supervision of the Agent's activity for his own company where Rep happened to be employed.
Product Type:	Other: misappropriation
Alleged Damages:	\$150,000.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-01947
Date Notice/Process Served:	06/22/2020
Arbitration Pending?	Yes
Firm Statement	Client was not a customer of the Firm or the Rep but was of the Agent who owned the company where the Rep was employed. Attorney claims Rep and Firm should be responsible for supervision of the Agent which the Firm strongly disagrees.



Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Brokers International Financial Services, LLC
Allegations:	Arbitration claims the Insurance Agent took checks made payable to his company totaling over \$1.3 million and misappropriated the funds. Firm and Rep are named as responsible for supervision of the Agent's activity for his own company where Rep happened to be employed.
Product Type:	Other: Misappropriation
Alleged Damages:	\$1,342,483.20
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	19-03556
Date Notice/Process Served:	12/06/2019
Arbitration Pending?	Yes
Firm Statement	Client was not a customer of the Firm or the Rep but was of the Agent who owned the company where the Rep was employed. Attorney claims Rep and Firm should be responsible for supervision of the Agent which the Firm strongly disagrees.



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$51,275.37
Judgment/Lien Type:	Tax
Date Filed with Court:	05/23/2019
Date Individual Learned:	06/20/2019
Type of Court:	State Court
Name of Court:	Hamilton County
Location of Court:	Noblesville, IN
Docket/Case #:	219021325
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	\$185,327.00
Judgment/Lien Type:	Tax
Date Filed with Court:	11/30/2018
Date Individual Learned:	01/08/2019
Type of Court:	State Court
Name of Court:	Hamilton County Recorder
Location of Court:	Hamilton Indiana
Docket/Case #:	2018055948
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 4



Reporting Source: Broker
Judgment/Lien Holder: TriCo Regional Sewer Utility
Judgment/Lien Amount: \$157.12
Judgment/Lien Type: Civil
Date Filed with Court: 02/14/2019
Date Individual Learned: 03/21/2019
Type of Court: State Court
Name of Court: Hamilton County Recorder
Location of Court: Hamilton Indiana
Docket/Case #: 2019005419
Judgment/Lien Outstanding? Yes

Disclosure 4 of 4

Reporting Source: Broker
Judgment/Lien Holder: State of Indiana
Judgment/Lien Amount: \$23,822.00
Judgment/Lien Type: Tax
Date Filed with Court: 04/04/2016
Date Individual Learned: 04/11/2016
Type of Court: Circuit Court
Name of Court: Circuit court
Location of Court: Hamilton County
Docket/Case #: 10953490,11204736,11272618
Judgment/Lien Outstanding? Yes

Broker Statement

Action:The IRS put a tax lien on my residence.

Reason:I am in the middle of a divorce and my lawyer instructed me not to pay the income taxes on our jointly filed tax return to allow the IRS to put a lien on the house so when it sells the lien will be paid 50/50 from my spouse and myself rather than pay 100% of myself.

Explanation:Money was taken from my IRA to pay for living expenses. The 10% penalty plus the income tax on the money made it counterintuitive to keep taking



money out the qualified account to pay taxes because I would then be taxed again on that money. The lien will be paid off with the proceeds from the sale of the house. this way the tax will be split 50/50.

End of Report



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