



IAPD Report

MITCHELL CRAIG VOSS

CRD# 1029100

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8

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Please contact FINRA with any concerns.



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

MITCHELL CRAIG VOSS (CRD# 1029100)

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 **05/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MUTUAL SECURITIES, INC.	CRD# 13092	06/04/1992
IA	MUTUAL ADVISORS, LLC	CRD# 167658	07/02/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

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
IA	MUTUAL SECURITIES, INC.	13092	ALBUQUERQUE, NM	01/24/2000 - 07/09/2013
B	BROKERAGE ADMINISTRATORS CORPORATION	37432	ENGLEWOOD, CO	03/09/1995 - 03/11/1997
B	FUNDMARK INVESTMENT COMPANY SERVICES, INC.	13066	ENGLEWOOD, CO	04/19/1994 - 07/17/1995

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1



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 currently registered with 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **MUTUAL SECURITIES, INC.**
Main Address: 807-A CAMARILLO SPRINGS ROAD
CAMARILLO, CA 93012
Firm ID#: 13092

Regulator	Registration	Status	Date
B FINRA	Financial and Operations Principal	Approved	06/04/1992
B FINRA	General Securities Principal	Approved	06/04/1992
B FINRA	General Securities Representative	Approved	06/04/1992
B FINRA	Municipal Securities Principal	Approved	06/04/1992
B FINRA	Municipal Securities Representative	Approved	06/04/1992
B FINRA	Registered Options Principal	Approved	06/04/1992
B FINRA	Investment Banking Representative	Approved	04/23/2010
B FINRA	Investment Banking Principal	Approved	10/01/2018
B FINRA	Operations Professional	Approved	10/01/2018
B Florida	Agent	Approved	05/13/2026
B Virginia	Agent	Approved	01/06/2026

Branch Office Locations

MUTUAL SECURITIES, INC.
Ponte Vedra, FL

Employment 2 of 2



Qualifications

Firm Name: **MUTUAL ADVISORS, LLC**
Main Address: 9140 W DODGE ROAD
SUITE 230
OMAHA, NE 68114
Firm ID#: 167658

Regulator	Registration	Status	Date
IA Virginia	Investment Adviser Representative	Approved	01/06/2026

Branch Office Locations

MUTUAL ADVISORS, LLC
807 A CAMARILLO SPRINGS ROAD
CAMARILLO, CA 93012

MUTUAL ADVISORS, LLC
Ponte Vedra, FL







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 4 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.


Principal/Supervisory Exams

Exam	Category	Date
 Financial and Operations Principal Examination (S27)	Series 27	06/25/1996
 Municipal Securities Principal Examination (S53)	Series 53	06/23/1988
 Registered Options Principal Examination (S4)	Series 4	08/04/1987
 General Securities Principal Examination (S24)	Series 24	04/10/1987

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	04/03/1986
 General Securities Representative Examination (S7)	Series 7	06/20/1981

State Securities Law Exams


Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/06/1999



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/23/1988

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



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	01/24/2000 - 07/09/2013	MUTUAL SECURITIES, INC.	CRD# 13092	ALBUQUERQUE, NM
B	03/09/1995 - 03/11/1997	BROKERAGE ADMINISTRATORS CORPORATION	CRD# 37432	ENGLEWOOD, CO
B	04/19/1994 - 07/17/1995	FUNDMARK INVESTMENT COMPANY SERVICES, INC.	CRD# 13066	
B	04/08/1994 - 04/13/1994	FUNDMARK INVESTMENT COMPANY SERVICES, INC.	CRD# 13066	
B	03/07/1991 - 10/13/1992	FUNDMARK INVESTMENT COMPANY SERVICES, INC.	CRD# 13066	
B	03/07/1986 - 05/05/1992	HALL & COMPANY INCORPORATED	CRD# 13711	
B	04/30/1985 - 10/28/1985	JACK WHITE & COMPANY	CRD# 7645	
B	01/19/1984 - 02/12/1985	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	CRD# 76	
B	08/31/1983 - 02/07/1984	JACK WHITE & COMPANY	CRD# 7645	
B	05/05/1982 - 08/23/1982	SUTRO & CO. INCORPORATED	CRD# 801	
B	01/14/1982 - 04/23/1982	SAN DIEGO SECURITIES INCORPORATED	CRD# 4136	

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
07/2013 - Present	MUTUAL ADVISORS, LLC.	CHAIRMAN	Y	OMAHA, NE, United States
04/1992 - Present	MUTUAL SECURITIES, INC.	EXECUTIVE V P / PRINCIPAL	Y	CAMARILLO, CA, United States



Registration & Employment History

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. VOSS SINGLE FAMILY PRIVATE TRUST CO., LLC, START: 04/19/2013, 5830 E 2ND ST., STE. 2D, CASPER, WY 82609, OWNER & MANAGING MEMBER, INVESTMENT-RELATED, <5 HOURS PER MONTH, 0 HOURS PER DAY DURING TRADING HOURS.
2. MUTUAL VENTURES, LLC, INCOME INVESTMENT GROUP, LLC., START: 7/1/2013, 5830 E 2ND ST., STE. 2D, CASPER, WY 82609, MANAGER, BUSINESS DEVELOPMENT, LLC MANAGEMENT DUTIES, INVESTMENTS, INVESTMENT RELATED, <40 HOURS PER MONTH, <2 HOURS PER DAY DURING TRADING HOURS.
3. VOSS INVESTMENTS, LLC, START: 01/2015, 5830 E 2ND ST., STE. 2D, CASPER, WY 82609, INVESTMENTS/CONSULTING, EXECUTIVE OFFICER, INVESTMENT RELATED, <20 HOURS PER MONTH, <1 HOUR PER DAY DURING TRADING HOURS.
4. WINDY HILL FOUNDATION, START: 05/01/2024, 101 N Jay St., Ste. A, Middleburg, VA 20117, Foundation, Charity, Board Member, Non-executive board of directors duties for a charitable foundation, Not Investment Related, 4 Hours per month, 0 Hours per day during trading hours.
5. VLST INVESTMENTS, LLC., START DATE: 06/16/2025, 30 N Gould St., Ste. R, Sheridan, WY 82801, LLC, Investment Holding Entity for Family Trust, Manager, Oversee Investment Holdings of Family Trust, Investment Related, 1 Hour per month, 0 Hours per day during trading hours.
6. VCRT Investments, LLC., Start Date: 06/16/2025, 30 N Gould St., Ste. R, Sheridan, WY 82801, LLC, Investment Holding Entity for Trust, Manager, Managing Family Trust Investment, Investment Related, 1 Hour per month, 0 Hours per day during trading hours.

THE TIME COMMITMENT TO EXECUTE DUTIES ASSOCIATED WITH THE ABOVE LISTED OUTSIDE BUSINESS ACTIVITIES VARIES. NO MATERIAL TIME COMMITMENT REQUIRED DURING MARKET HOURS. DUTIES ARE DIRECTED BY OPERATING AGREEMENTS.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/29/1996

Docket/Case Number: C02960004

Employing firm when activity occurred which led to the regulatory action: FUNDMARK INVESTMENT COMPANY SERVICES, INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 02/23/1996

Sanctions Ordered: Censure
Monetary/Fine \$7,500.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement ON FEBRUARY 23, 1996, DISTRICT NO. 2 NOTIFIED RESPONDENT FUNDMARK INVESTMENT COMPANY SERVICES, INC. AND MITCHELL CRAIG



VOSENKEMPER THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C02960004 WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$7,500, JOINTLY AND SEVERALLY AND RESPONDENT VOSENKEMPER IS ORDERED TO REQUALIFY BY EXAMINATION AS A FINANCIAL AND OPERATIONS PRINCIPAL WITHIN 90 DAYS FROM THE DATE OF ACCEPTANCE OF THE NOTICE OF ACCEPTANCE, WAIVER AND CONSENT. SHOULD RESPONDENT VOSENKEMPER FAIL TO REQUALIFY AS ORDERED HEREIN, HE SHALL BE SUSPENDED FROM ACTING AS FINANCIAL AND OPERATIONS PRINCIPAL UNTIL HE REQUALIFIES AS SUCH - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT VOSENKEMPER, EFFECTED SECURITIES TRANSACTIONS AND/OR INDUCED THE PURCHASE OR SALES OF SECURITIES WHEN THE FIRM FAILED TO HAVE AND MAINTAIN SUFFICIENT NET CAPITAL).

\$7,500.00 PAID J&S ON 03/12/96, INVOICE #96-02-149

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/29/1996
Docket/Case Number:	C02960004
Employing firm when activity occurred which led to the regulatory action:	FUNDMARK INVESTMENT COMPANY SERVICES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	NET CAPITAL VIOLATION BY PREVIOUS EMPLOYER, NO ACTUAL DAMAGES OR CLAIMS INVOLVED.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	02/23/1996
Sanctions Ordered:	Censure Monetary/Fine \$7,500.00
Other Sanctions Ordered:	
Sanction Details:	CENSURE AND \$7,500 FINE (JOINTLY AND SEVERALLY BY FIRM AND FINANCIAL PRINCIPAL)
Broker Statement	Not Provided



End of Report

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