IAPD Report

MARK SINDRICH

CRD# 1097529

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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 SINDRICH (CRD# 1097529)

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 **04/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	06/10/1999
IA	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	04/21/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **35** 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	NFP ADVISOR SERVICES, LLC	42046	LARAMIE, WY	02/13/2001 - 09/22/2016
B	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SCOTTSDALE, AZ	11/19/1989 - 06/14/1999
B	INTEGRATED RESOURCES EQUITY CORPORATION	6403	SCOTTSDALE, AZ	03/24/1983 - 11/19/1989

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
Criminal	1
Customer Dispute	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 **35** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**

Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735

Firm ID#: 42046

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/10/1999
B	FINRA	General Securities Representative	Approved	06/10/1999
B	FINRA	Municipal Fund	Approved	04/28/2003
B	Arizona	Agent	Approved	11/15/2017
B	California	Agent	Approved	06/16/1999
B	Colorado	Agent	Approved	06/10/1999
B	Connecticut	Agent	Approved	06/10/1999
B	District of Columbia	Agent	Approved	11/09/2023
B	Florida	Agent	Approved	06/10/1999
B	Georgia	Agent	Approved	04/18/2011
B	Hawaii	Agent	Approved	11/06/2023
B	Idaho	Agent	Approved	10/08/2021
B	Illinois	Agent	Approved	05/18/2018

Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	11/14/2023
B	Iowa	Agent	Approved	04/13/2001
B	Kansas	Agent	Approved	11/13/2020
B	Maryland	Agent	Approved	01/04/2024
B	Massachusetts	Agent	Approved	03/08/2013
B	Minnesota	Agent	Approved	06/05/2024
B	Missouri	Agent	Approved	06/10/1999
B	Montana	Agent	Approved	06/10/1999
B	Nebraska	Agent	Approved	10/18/2022
B	Nevada	Agent	Approved	04/23/2001
B	New Hampshire	Agent	Approved	03/20/2025
B	New Jersey	Agent	Approved	11/08/2019
B	New Mexico	Agent	Approved	07/29/2019
B	New York	Agent	Approved	10/20/2015
B	North Carolina	Agent	Approved	02/28/2008
B	Ohio	Agent	Approved	11/09/2023
B	Oklahoma	Agent	Approved	08/23/2001
B	Pennsylvania	Agent	Approved	06/10/1999
B	South Carolina	Agent	Approved	08/30/2019

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	06/10/1999
B	Utah	Agent	Approved	11/06/2018
B	Virginia	Agent	Approved	11/10/2000
B	Washington	Agent	Approved	11/05/2009
B	Wisconsin	Agent	Approved	12/21/2007
B	Wyoming	Agent	Approved	11/16/2020

Branch Office Locations

NFP ADVISOR SERVICES, LLC
1490 S. PEARL
DENVER, CO 80210

Employment 2 of 2

Firm Name:	**KESTRA ADVISORY SERVICES, LLC**
Main Address:	5707 SOUTHWEST PARKWAY BUILDING 2, SUITE 400 AUSTIN, TX 78735
Firm ID#:	283330

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	04/21/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

Branch Office Locations

KESTRA ADVISORY SERVICES, LLC
1490 S. PEARL
DENVER, CO 80210

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 2 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Fund Securities Principal Examination (S51)	Series 51	04/26/2003
B	General Securities Principal Examination (S24)	Series 24	08/17/1987

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/19/1983

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/30/1989

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	02/13/2001 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	LARAMIE, WY
B	11/19/1989 - 06/14/1999	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	03/24/1983 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	

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
04/2016 - Present	KESTRA ADVISORY SERVICES, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	DENVER, CO, United States
04/2016 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
06/1980 - Present	SINDRICH & ASSOC	OTHER - OWNER	N	DENVER, CO, 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.

Bus Name: Sindrich and Associates Investment Related: Yes Address: 1490 so pearl st denver CO 80210 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance; Investment Advisory services through Kestra Advisory Services, LLC   Position, Title or Relationship: Owner Start Date: 1/1/1990 Hours per month: 91% - 100% (145 - 160 hours) Hours per month during trading hours: 51% - 60% (71 - 84 hours) Duties: business development
planning investment allocations
Bus Name: Diversified Financial Partners LLC Investment Related: Yes Address: 2 Inverness Drive East St suite 187 Englewood CO 80112 Nature of Business: Insurance   Position, Title or Relationship: member Start Date: 1/1/1995 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: business management
Bus Name: Five Story LLC Investment Related: Yes Address: 1490 South Pearl St Denver CO 80210 Nature of Business: Real Estate   Position, Title or Relationship: member Start Date: 2/1/1996 Hours per month: 0% - 10% (0 - 16 hours) Hours per month during trading hours: 0% - 10% (0 - 14 hours) Duties: rent property
Bus Name: Kestra Advisory Services, LLC Investment Related: Yes Address: 5707 Southwest Parkway Building 2, Suite 400 Austin TX 78735 Nature of Business: Investment Advisory services through Kestra Advisory Services, LLC   Position, Title or Relationship: Investment Advisor Representative Start Date: 4/4/2016 Hours per month: Up to 100% (0 to 160 hours) Hours per month during trading hours: Up to 100% (0 to 160 hours) Duties: Investment advisory services
Bus Name: Moneypenny Management LLC Investment Related: Yes Address: 1490 South Pearl Street Denver CO 80210 Nature of Business: Other Back Office Operations Position, Title or Relationship: member Start Date: 1/1/2017 Hours per month: 11% -

Registration & Employment History

OTHER BUSINESS ACTIVITIES

20% (17 - 32 hours) Hours per month during trading hours: 11% - 20% (15 - 28 hours) Duties: owner office and sales
Bus Name: MONEYPENNY MANAGEMENT LLC POSITION: member NATURE: Insurance INVESTMENT RELATED: Yes # OF HOURS: 24 SECURITIES TRADING HOURS: 21 START DATE: 01/01/2017
ADDRESS: 1490 South Pearl Street, Denver CO 80210, United States DESCRIPTION: owner office and sales

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*.
    - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - o 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*.
    - o 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.
    - o 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.
    - o 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
Criminal	1
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	COLUMBUS OHIO
Charge Date:	10/05/1973
Charge Details:	POSSESSION & INTENT TO DISTRIBUTE HALLUCINOGENIC
Felony?	Yes
Current Status:	Final
Status Date:	05/01/1974
Disposition Details:	CHARGES WERE DROPPED WITH NO FURTHER ACTION BY THE DISTRICT ATTORNEY.

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Kestra Investment Services, LLC
Allegations:	Claimant alleges that he was misinformed regarding the risk of an investment in oil and gas.
Product Type:	Oil & Gas
Alleged Damages:	$218,956.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	18-03986
Filing date of arbitration/CFTC reparation or civil litigation:	11/23/2018

Customer Complaint Information

Date Complaint Received:	11/29/2018
Complaint Pending?	No
Status:	Settled
Status Date:	01/29/2020
Settlement Amount:	$60,000.00
Individual Contribution Amount:	$0.00
Broker Statement	The client was apprised of risks associated with the investment at issue, both orally and in writing. The client signed documents affirming that he understood risks associated with oil and gas investments. The investment was made in July 2012 and the distributions ceased during August 2018 resulting in the complaint.

End of Report

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