



IAPD Report

MARK JOSEPH SESKI

CRD# 1439870

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

i When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.
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

MARK JOSEPH SESKI (CRD# 1439870)

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 **06/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	HARVEST PORTFOLIO MANAGEMENT, LLC	CRD# 299005	04/16/2019

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	HARVEST PORTFOLIO MANAGEMENT, LLC	299005	WELLINGTON, FL	04/16/2019 - 12/31/2019
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	BLOOMFIELD HILLS, MI	06/13/2005 - 06/02/2014
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	BLOOMFIELD HILLS, MI	06/13/2005 - 06/02/2014

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
Investigation	1
Financial	1
Judgment/Lien	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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **HARVEST PORTFOLIO MANAGEMENT, LLC**
Main Address: ISLE OF PALMS, SC
Firm ID#: 299005

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	04/16/2019
	Michigan	Investment Adviser Representative	Restricted Approval	02/23/2021
	South Carolina	Investment Adviser Representative	Approved	10/26/2022

Branch Office Locations

HARVEST PORTFOLIO MANAGEMENT, LLC
ISLE OF PALMS, SC



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, 1 general industry/product exam, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

B General Securities Representative Examination (S7)	Series 7	12/22/2004
---	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/12/2018
--	-----------	------------

IA B Uniform Combined State Law Examination (S66)	Series 66	03/01/2005
---	-----------	------------

B Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/1986
---	-----------	------------

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	04/16/2019 - 12/31/2019	HARVEST PORTFOLIO MANAGEMENT, LLC	CRD# 299005	WELLINGTON, FL
B	06/13/2005 - 06/02/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BLOOMFIELD HILLS, MI
IA	06/13/2005 - 06/02/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BLOOMFIELD HILLS, MI
IA	03/04/2005 - 03/21/2005	COMERCIA SECURITIES	CRD# 17079	FARMINGTON, MI
B	01/01/2005 - 03/21/2005	COMERICA SECURITIES	CRD# 17079	AUBURN HILLS, MI
B	05/25/1993 - 11/02/1995	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	09/06/1990 - 05/25/1993	GREAT WESTERN FINANCIAL SECURITIES CORPORATION	CRD# 14229	NORTHRIDGE, CA
B	10/02/1990 - 03/05/1992	FUNDTRUST INVESTMENT COMPANY SERVICES, INC.	CRD# 13066	
B	10/30/1989 - 09/07/1990	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	01/23/1986 - 11/01/1989	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	NEW YORK, NY

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
08/2018 - Present	Harvest Portfolio Management, LLC	President	Y	Wellington, FL, United States
08/2016 - 05/2018	Reliance Trust Company of Delaware	Trust and Estate Specialist	Y	West Palm Beach, FL, United States
04/2014 - 06/2016	Wells Fargo The Private Bank	Sr. Fiduciary Advisory Specialist	Y	Summit, NJ, 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.

No information reported.



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
Investigation	1
Financial	1
Judgment/Lien	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:	Michigan
Sanction(s) Sought:	Revocation Suspension Other: Condition, or Limit IAR Registration
Date Initiated:	11/17/2021
Docket/Case Number:	343736
URL for Regulatory Action:	https://www.michigan.gov/lara/-/media/Project/Websites/lara/cscl/NonImages_new/SecuritiesOrders/Seski-Mark.pdf?rev=c711c6d3ffe44fc4817e91a771a429e2
Employing firm when activity occurred which led to the regulatory action:	Harvest Portfolio Management, LLC (IARD#299005, "HPM")
Product Type:	No Product
Allegations:	The Administrator intends to revoke, suspend, condition, or limit Respondent Mark Seski's investment adviser representative registration under MCL 451.2412(4)(g) and authorizing the revocation, suspension, conditioning, or limitation of Respondent's investment adviser representative registration under the Michigan Uniform Securities Act (2002), 2008 PA 551
Current Status:	Final



Resolution: Stipulation and Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 03/22/2022

Sanctions Ordered: Other: The Parties agree to this Stipulation enabling the Administrator to conditionally register Respondent as an investment adviser representative of Harvest.

.....

Reporting Source: Individual

Regulatory Action Initiated By: Michigan Department of Licensing and Regulatory Affairs (LARA)

Sanction(s) Sought: Revocation
Suspension
Other: LIMIT

Date Initiated: 11/17/2021

Docket/Case Number: 343736

Employing firm when activity occurred which led to the regulatory action: HARVEST PORTFOLIO MANAGEMENT, LLC

Product Type: Other: Pending investigation pertaining to insolvency under MCL 451.2312(4)(g)

Allegations: There is a pending investigation under MCL 451.2312(4)(g) pertaining to insolvency resulting from spousal support accruing during the Covid pandemic.

Current Status: Pending



Investigation

This disclosure event involves any ongoing formal investigation such as a grand jury investigation, a Securities and Exchange Commission investigation, a formal investigation by a self-regulatory organization (e.g., FINRA), or an action or procedure designated as an investigation by a state or other regulator. Subpoenas, preliminary or routine regulatory inquiries, and general requests by these regulatory bodies for information are not considered investigations and therefore are not required to be reported.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	Michigan Department of Licensing and Regulatory Affairs (LARA)
Notice Date:	11/17/2021
Details:	There is a pending investigation under MCL 451.2312(4)(g) pertaining to insolvency arising from spousal support accruing during the Covid pandemic.
Is Investigation pending?	Yes



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source: Individual

Action Type: Compromise

Action Date: 06/30/2016

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 06/30/2016

If a compromise with creditor, provide:

Name of Creditor: JP Morgan Chase/SLS

Original Amount Owed: \$157,090.00

Terms Reached with Creditor: Home Equity Line outstanding balance and the then remaining mortgage balance less certain payments lead to a \$157,090.00 compromise on the line of credit and a \$107,375.00 compromise on the primary mortgage.

Broker Statement Divorce.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Barbara K. Seski
Judgment/Lien Amount:	\$137,000.00
Judgment/Lien Type:	Civil
Date Filed with Court:	03/28/2022
Date Individual Learned:	03/28/2022
Type of Court:	Wayne County 3rd Circuit Court - Domestic - Friend of the Court
Name of Court:	Wayne County 3rd Circuit Court - Domestic - Friend of the Court
Location of Court:	Detroit, MI - Wayne County
Docket/Case #:	14 109816
Judgment/Lien Outstanding?	Yes
Broker Statement	Resolution: On March 28, 2022 an Irrevocable Order of Spousal Support was entered stating a fixed payment plan to satisfy the outstanding spousal support.



End of Report

This page is intentionally left blank.