



IAPD Report

MARK ANTHONY RUSSELL

CRD# 1620367

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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 ANTHONY RUSSELL (CRD# 1620367)

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 **12/23/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/20/2004
IA	LPL FINANCIAL LLC	CRD# 6413	05/24/2004

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	HUNTSVILLE, AL	04/25/2000 - 05/24/2004
B	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN	06/06/1994 - 05/24/2004
B	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN	06/06/1994 - 05/24/2004

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
Customer Dispute	2



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 **16** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	05/20/2004
B FINRA	Invest. Co and Variable Contracts	Approved	05/20/2004
B Alabama	Agent	Approved	05/20/2004
IA Alabama	Investment Adviser Representative	Approved	05/24/2004
B Arkansas	Agent	Approved	05/04/2015
B Colorado	Agent	Approved	02/07/2017
B District of Columbia	Agent	Approved	06/19/2018
B Florida	Agent	Approved	05/20/2004
B Georgia	Agent	Approved	05/20/2004
B Indiana	Agent	Approved	09/21/2020
B Louisiana	Agent	Approved	01/11/2005
B Michigan	Agent	Approved	12/26/2024
B Mississippi	Agent	Approved	03/22/2013



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	08/03/2021
B Ohio	Agent	Approved	01/02/2018
B South Carolina	Agent	Approved	11/27/2017
B Tennessee	Agent	Approved	05/20/2004
B Texas	Agent	Approved	01/04/2005
IA Texas	Investment Adviser Representative	Restricted Approval	09/26/2008
B Virginia	Agent	Approved	03/14/2013

Branch Office Locations

LPL FINANCIAL LLC
303 WILLIAMS AVE SW STE 711
HUNTSVILLE, AL 35801



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





Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/15/2000
 Non-Member General Securities Examination (S2)	Series 2	10/25/1994
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/09/1987

State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	05/19/1987
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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	04/25/2000 - 05/24/2004	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	HUNTSVILLE, AL
B	06/06/1994 - 05/24/2004	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	06/06/1994 - 05/24/2004	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	11/13/1987 - 06/07/1994	W. S. GRIFFITH & CO., INC.	CRD# 10410	HARTFORD, CT
B	07/13/1987 - 01/01/1988	PRUCO SECURITIES CORPORATION	CRD# 5685	

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
05/2004 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	HUNTSVILLE, AL, 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.

- 05/20/2004 - FPH FINANCIAL SERVICES, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business).
- 9/6/2005 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - TERM LIFE & NON-VARIABLE PRODUCT SALES.
- 9/13/2005 - No Business Name - Investment Related - ACT IN A FIDUCIARY CAPACITY - LIMITED POWER OF ATTORNEY FOR PARENTS ESTATE PLANNING.
- 6/9/2008 - No Business Name - Investment Related - ACT IN A FIDUCIARY CAPACITY - DEBORA KAY RUSSELL (SISTER) - DUE TO MY SISTER'S HEALTH, MY PARENTS AND I AGREE THAT I SHOULD BE THE PERSON IN OUR FAMILY TO HAVE A GENERAL DURABLE POWER OF ATTORNEY AND BY NAMED AS HER HEALTH CARE PROXY AS OF 02/20/2008.
- 7/14/2016 - Russell Financial Advisors LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 07/29/2016 - 200 Hours Per Month/136 Hours During Securities Trading.
- 2/5/2018 - Alabama Notary - Investment Related - At Reported Business Location(s) - Other-Alabama Notary - Started 09/01/2015 - 1 Hour Per Month During Securities Trading - Notary Public.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

7. 7/8/2020 - Boonie, LLC - Investment Related - 303 Williams Ave SW Ste 711, Huntsville, AL 35801 - Real Estate Rental - Started 03/21/2017 - 2 Hours Per Month/0 Hours During Securities Trading - Created a LLC to hold the real estate/property for where Russell Financial Advisors, LLC is located.



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
Customer Dispute	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL
Allegations:	CUSTOMER ALLEGES THAT HE WAS NOT PROVIDED ACCURATE INFORMAITON CONCERNING VARIABLE ANNUITY INVESTMENT HE PURCHASED IN AUGUST OF 2008, AND AS A RESULT HE LOST \$17,673.00 UPON SUBSEQUENT CANCELLATION OF POLICY.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$17,673.00

Customer Complaint Information

Date Complaint Received:	12/15/2008
Complaint Pending?	No
Status:	Denied
Status Date:	01/14/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement	THE DOCUMENTS REFLECT THAT THE TRANSCATION WAS DISCLOSED AND DOCUMENTED. THE INVESTMENT RECOMMENDATION WAS SUITABLE AND APPROPRIATE AND CONSISTENT WITH THE CUSTOMER'S STATED OBJECTIVES. THE CUSTOMER EXERCISED THE FREE-LOOK PROVISION OF THIS CONTRACT. ING REVIEWED THE FREE-LOOK REQUEST AND
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DETERMINED THAT THE REQUEST TO CANCEL THE CONTRACT WAS RECEIVED WITHIN THE APPROPRIATE PERIOD. AS SUCH, ING HAS AGREED TO RETURN THE CUSTOMER'S PREMIUM DEPOSITS.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LINCOLN FINANCIAL ADVISORS CORP

Allegations: CLAIMANTS ALLEGE IN 1999 THEY PURCHASED VARIABLE ANNUITIES ON THE ADVICE OF THE REPRESENTATIVE, WHICH WERE UNSUITABLE BASED ON THEIR CIRCUMSTANCES.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 01/17/2006

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/17/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION CASE NO: 06-00090

Date Notice/Process Served: 01/17/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/01/2007

Monetary Compensation Amount: \$79,992.00

Individual Contribution Amount: \$9,999.00

Firm Statement DAMAGES IN EXCESS OF \$25,000 TO BE DETERMINED AT TRIAL. 02/12/2008: THIS DRP IS BEING FILED TO CORRECT THE TOTAL SETTLEMENT AMOUNT AND REVISE THE FINAL OUTCOME.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LINCOLN FINANCIAL ADVISOR CORP.

Allegations: CLAIMANTS ALLEGE IN 1999 THEY PURCHASED VARIABLE ANNUITIES ON THE ADVICE OF THE REPRESENTATIVE, WHICH WERE UNSUITABLE BASED



ON THEIR CIRCUMSTANCES. ALLEGED COMPENSATORY DAMAGES NOT SPECIFIED, BUT BELIEVED TO BE GREATER THAN \$5000.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 01/17/2006

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/17/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION NO. 06-00090

Date Notice/Process Served: 01/17/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/01/2007

Monetary Compensation Amount: \$79,992.00

Individual Contribution Amount: \$9,999.00

Broker Statement

THE ALLEGATIONS IN THE UNDERLYING CASE WERE WITHOUT MERIT. THE CASE WAS DISMISSED AGAINST ME PRIOR TO THE ACTUAL SETTLEMENT. I WAS ADVISED TO CONTRIBUTE TO THE SETTLEMENT FOR BUSINESS REASONS AND WAS FURTHER ADVISED THAT THE SETTLEMENT WAS NOT A REPORTABLE EVENT BECAUSE I HAD BEEN DISMISSED. DAMAGES IN EXCESS OF \$25,000 TO BE DETERMINED AT TRIAL.



End of Report

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