



IAPD Report

MARK WILLIAM CHAMBERLAIN

CRD# 1655738

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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 WILLIAM CHAMBERLAIN (CRD# 1655738)

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 **09/02/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CAPTRUST	CRD# 175112	05/06/2020
B	CAPFINANCIAL SECURITIES, LLC.	CRD# 126291	05/12/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	LAKESIDE WEALTH MANAGEMENT GROUP, LLC	140271	CHESTERTON, IN	05/08/2006 - 06/30/2020
B	FIRST ALLIED SECURITIES, INC.	32444	CHESTERTON, IN	05/30/2008 - 05/07/2020
IA	FIRST ALLIED ADVISORY SERVICES, INC.	137888	CHESTERTON, IN	01/01/2007 - 07/24/2014

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
Customer Dispute	7



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

Employment 1 of 2

Firm Name: **CAPFINANCIAL SECURITIES, LLC.**
Main Address: 4208 SIX FORKS ROAD, SUITE 1700
RALEIGH, NC 27609
Firm ID#: 126291

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	05/12/2020
B	FINRA	General Securities Principal	Approved	05/12/2020
B	FINRA	General Securities Representative	Approved	05/12/2020
B	FINRA	Municipal Fund	Approved	05/12/2020
B	FINRA	Operations Professional	Approved	05/12/2020
B	Arizona	Agent	Approved	05/28/2020
B	California	Agent	Approved	05/12/2020
B	Indiana	Agent	Approved	05/20/2020
B	Iowa	Agent	Approved	05/19/2020
B	Michigan	Agent	Approved	05/15/2020
B	Montana	Agent	Approved	05/12/2020
B	Nevada	Agent	Approved	05/27/2020
B	North Carolina	Agent	Approved	05/13/2020



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	05/12/2020
B Oregon	Agent	Approved	05/14/2020
B Pennsylvania	Agent	Approved	05/13/2020
B South Carolina	Agent	Approved	05/26/2020
B Texas	Agent	Approved	05/20/2020
B Washington	Agent	Approved	05/21/2020

Branch Office Locations

CAPTRUST FINANCIAL ADVISORS OR "CAPTRUST"

3100 Village Point
STE 200
Chesterton, IN 46304

Employment 2 of 2

Firm Name: **CAPTRUST**
Main Address: 4208 SIX FORKS RD
SUITE 1700
RALEIGH, NC 27609
Firm ID#: 175112

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	05/06/2020

Branch Office Locations

CAPTRUST
3100 Village Point
STE 200
Chesterton, IN 46304





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




Principal/Supervisory Exams

Exam	Category	Date
 Municipal Fund Securities Principal Examination (S51)	Series 51	04/21/2003
 General Securities Principal Examination (S24)	Series 24	03/26/1999

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Direct Participation Programs Representative Examination (S22TO)	Series 22TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/04/1999

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	01/04/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/11/1999

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	05/08/2006 - 06/30/2020	LAKESIDE WEALTH MANAGEMENT GROUP, LLC	CRD# 140271	CHESTERTON, IN
B	05/30/2008 - 05/07/2020	FIRST ALLIED SECURITIES, INC.	CRD# 32444	CHESTERTON, IN
IA	01/01/2007 - 07/24/2014	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	CHESTERTON, IN
B	01/08/1999 - 05/30/2008	FFP SECURITIES, INC.	CRD# 16337	CHESTERTON, IN
IA	02/01/1999 - 01/03/2007	FFP ADVISORY SERVICES INC	CRD# 110778	CHESTERTON, IN

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
05/2020 - Present	CapFinancial Partners LLC (CAPTRUST)	Investment Adviser Representative	Y	Raleigh, NC, United States
05/2020 - Present	CapFinancial Securities LLC	Registered Representative	Y	Raleigh, NC, United States
05/2008 - 05/2020	FIRST ALLIED SECURITIES, INC.	Mass Transfer	Y	CHESTERTON, IN, United States
03/2006 - 05/2020	LAKESIDE WEALTH MANAGEMENT GROUP, LLC	PRESIDENT	Y	CHESTERTON, IN, United States
02/2004 - 05/2020	LAKESIDE FINANCIAL GROUP, LLC	D/B/A	Y	CHESTERTON, IN, 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.

- 1.) Name: Mark Chamberlain, 407 LLC., Investment-Related: No., Address: private residence, Nature: rental income, Position/Title: Managing Member/Owner, Start: 12/05/2014, Hours/Month: 1, Hours during Market Hours: 0, Duties: manage commercial real estate
- 2.) INDIANA STATE CHAMBER OF COMMERCE, BOARD MEMBER MARKETING 4 HOURS PER MONTH, 11/01/2012



Registration & Employment History



OTHER BUSINESS ACTIVITIES

- 3.) DUNELAND YMCA CAPITAL CAMPAIGN CHAIR; ANNUAL CAMPAIGN CHAIR; NON-PROFIT ORGANIZATION; START DATE: 7/1/19; 8 HOURS PER MONTH.
- 4.) BOOK "WHY DO I WORK HERE"; AUTHOR; AUTHOR/SPEAKER/ENTERTAINER/MEDIA CONTRIBUTOR; START DATE: 01/06/2020; 0 HOURS PER MONTH.
- 5.) Name: Dreaming Tree Monopoly LLC, Address: private residence, Not Investment Related, Nature: family LLC to hold rental real estate, Position/Title: General Partner, Start: 01/01/2025, Hours/Month: 0, Hours during Market Hours: 0, Duties: Manage family real estate holdings



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
Customer Dispute	7

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:	Individual
Regulatory Action Initiated By:	OFFICE OF AUDITS (OIA) @ CHICAGO BOARD OF TRADE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/01/1994
Docket/Case Number:	94 INV 13
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	THAT PIT BROKER TRADED FOR PERSONAL ACCOUNT BEFORE EXECUTING CUSTOMER ORDER.
Current Status:	Final
Resolution:	Decision
Resolution Date:	08/08/1994
Sanctions Ordered:	Monetary/Fine \$3,750.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	FINE OF \$3,750 AND 10-DAY SUSPENSION FROM



Broker Statement

TRADING FLOOR.

IT WAS DETERMINED THAT I HAD TRADED FOR MY PERSONAL ACCOUNT BEFORE FILING A CUSTOMER ORDER. WHEN I WAS MADE AWARE OF THE SITUATION, I COOPERATED FULLY WITH OIA AND ENDED THE MATTER QUICKLY BY PAYING THE FINE AND SERVING THE SUSPENSION. IT WAS MY CONTENTION THAT THE INCIDENT WAS UNINTENTIONAL AND AS A RESULT THE DISCIPLINARY ACTION WAS LOWERED TO THE SMALLEST POSSIBLE PENALTY BY THE AUTHORITIES INVOLVED.



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 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	First Allied Securities Inc.
Allegations:	Client alleges she was not informed of the tax consequences of activating a rider on her annuity.
Product Type:	Annuity-Variable
Alleged Damages:	\$94,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/21/2017
Complaint Pending?	No
Status:	Denied
Status Date:	10/16/2017
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST ALLIED SECURITIES, INC.
Allegations:	FROM 12/2010-8/2012. REP'S FORMER WIFE IS ALLEGING THAT REP INAPPROPRIATELY PLACED FORMER WIFE IN HIGH RISK INVESTMENTS.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$29,700.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No



Customer Complaint Information

Date Complaint Received: 05/08/2015
Complaint Pending? No
Status: Closed/No Action
Status Date: 02/26/2016

Settlement Amount:

Individual Contribution Amount:

Broker Statement My ex-wife was expressing frustration through a variety of methods. Unfortunately, because of the regulatory process even personal disputes must be disclosed when related to securities in any way.

Disclosure 3 of 7

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FIRST ALLIED SECURITIES, INC.

Allegations: CLAIMANTS ALLEGE CONVERSION/UNAUTHORIZED TRANSACTIONS AND UNAUTHORIZED CONTROL; BREACH OF FIDUCIARY DUTY AND CONSTRUCTIVE FRAUD; AND COMMON LAW FRAUD AND MISREPRESENTATION FROM OCTOBER 2009 TO MAY 2011.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$246,766.40

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 12-01447

Date Notice/Process Served: 05/07/2012

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/30/2012

Monetary Compensation Amount: \$13,000.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 7

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FIRST ALLIED SECURITIES, INC.

Allegations: CLIENT IS ALLEGING THAT RR TOOK MORE RISK IN HER ACCOUNT THEN



HE SHOULD HAVE. ACTIVITIES TOOK PLACE FROM 10/2/2007 TO 4/20/2009

Product Type: Mutual Fund
Other: WRAP ACCOUNT - IN-HOUSE MANAGED

Alleged Damages: \$33,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 04/20/2009

Complaint Pending? No

Status: Settled

Status Date: 08/12/2009

Settlement Amount: \$18,010.19

**Individual Contribution
Amount:** \$18,010.19

Disclosure 5 of 7

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** FFP SECURITIES, INC.

Allegations: CLIENT ALLEGES THAT THE REP DID NOT DISCLOSE ALL THE FEES INVOLVED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$99,288.00

Customer Complaint Information

Date Complaint Received: 04/22/2008

Complaint Pending? No

Status: Closed/No Action

Status Date: 02/17/2009

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 6 of 7

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** FFP SECURITIES, INC.

Allegations: UNAUTHORIZED TRADE



Product Type: Other
Other Product Type(s): STOCK & VA
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 08/20/2004
Complaint Pending? No
Status: Denied
Status Date: 09/27/2004

Settlement Amount:

Individual Contribution Amount:

Disclosure 7 of 7

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FFP SECURITIES, INC.

Allegations: UNAUTHORIZED TRADING

Product Type: Other
Other Product Type(s): STOCKS
Alleged Damages: \$8,635.00

Customer Complaint Information

Date Complaint Received: 02/18/2004
Complaint Pending? No
Status: Denied
Status Date: 06/21/2004

Settlement Amount:

Individual Contribution Amount:



End of Report

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