



IAPD Report

MARK JOSEPH DORMAN

CRD# 1858020

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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

MARK JOSEPH DORMAN (CRD# 1858020)

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 **01/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/31/2023
IA	WELLTH ADVISORY SERVICES, LLC	CRD# 330537	06/28/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	GLOBAL RETIREMENT PARTNERS LLC	172011	Medina, OH	08/01/2023 - 07/13/2024
IA	MML INVESTORS SERVICES, LLC	10409	CLEVELAND, OH	03/27/2007 - 08/01/2023
B	MML INVESTORS SERVICES, LLC	10409	CLEVELAND, OH	03/20/2007 - 08/01/2023

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

Employment 1 of 2

Firm Name: **WELLTH ADVISORY SERVICES, LLC**
Main Address: SHOREWOOD, IL
Firm ID#: 330537

	Regulator	Registration	Status	Date
IA	Indiana	Investment Adviser Representative	Approved	07/01/2024
IA	Maryland	Investment Adviser Representative	Approved	07/01/2024
IA	Michigan	Investment Adviser Representative	Approved	07/02/2024
IA	Ohio	Investment Adviser Representative	Approved	06/28/2024
IA	West Virginia	Investment Adviser Representative	Approved	07/25/2024

Branch Office Locations

WELLTH ADVISORY SERVICES, LLC
1093 Medina Road Suite 201
Medina, OH 44256

Employment 2 of 2

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

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	07/31/2023
B	Indiana	Agent	Approved	10/26/2023
B	Maryland	Agent	Approved	08/30/2023



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	08/01/2023
B West Virginia	Agent	Approved	09/25/2023

Branch Office Locations

LPL FINANCIAL LLC
1093 MEDINA RD STE 201
MEDINA, OH 44256



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, 2 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/11/1988

State Securities Law Exams

Exam	Category	Date
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No information reported.



PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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	08/01/2023 - 07/13/2024	GLOBAL RETIREMENT PARTNERS LLC	CRD# 172011	Medina, OH
IA	03/27/2007 - 08/01/2023	MML INVESTORS SERVICES, LLC	CRD# 10409	CLEVELAND, OH
B	03/20/2007 - 08/01/2023	MML INVESTORS SERVICES, LLC	CRD# 10409	CLEVELAND, OH
IA	01/23/2001 - 03/22/2007	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	MEDINA, OH
B	01/02/2001 - 03/22/2007	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	MEDINA, OH
B	09/08/1999 - 12/31/2000	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	04/01/1998 - 09/30/1999	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	04/01/1998 - 09/30/1999	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	11/14/1988 - 04/10/1998	NEW ENGLAND SECURITIES	CRD# 615	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
06/2024 - Present	WELLTH ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	MEDINA, OH, United States
07/2023 - Present	LPL Financial LLC	Registered Representative	Y	MEDINA, OH, United States
01/2000 - Present	DORMAN LEGACY ADVISORS, LLC	MANAGER	Y	MEDINA, OH, United States
07/2023 - 06/2024	Global Retirement Partners, LLC	Investment Advisor Representative	Y	San Rafael, CA, United States
03/2007 - 07/2023	MASS MUTUAL LIFE INSURANCE	AGENT	Y	MEDINA, OH, United States
03/2007 - 07/2023	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	MEDINA, OH, 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- 01/2023 / DORMAN LEGACY ADVISORS / DBA for LPL Business (entity for LPL business) / INVESTMENT RELATED / 1601 HRS MNTH / 8 HRS DRNG TRDNG / 100 TIME SPNT PRCNT

2- 07/31/2023 / STRATEGIC RETIREMENT PARTNERS / DBA for LPL Business (entity for LPL business) / INVESTMENT RELATED

3- 07/31/2023 / SRP- DBA for LPL Business (entity for LPL business) / INVESTMENT RELATED

4- 07/31/2023 / DORNOCH PROPERTIES LLC / Real Estate Rental / INVESTMENT RELATED

5- 07/31/2023 - Started 11/2021 / ABERDEEN PARTNERS / Real Estate Rental / INVESTMENT RELATED

6- 07/31/2023- DORMAN STRATEGIC CONSULTING LLC dba LEGACY BUSINESS ADVISORS- Consulting - Exit Planning- Not Investment Related- Started 1/1/2017- 8 hours per month/ 2 hours during trading

7- 07/31/2023 / Dorman Legacy Advisors, LLC / Non-Variable Insurance / INVESTMENT RELATED / Start Date 01/2007 - 5 HRS MNTH/ 5 HRS DRNG TRDNG / 10 TIME SPNT PRCNT

8- 08/03/2023 - SRP - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - IAR - Start Date 01/17/2023 - 160 Hours Per Month/ 8 Hours During Trading - Time Spent 100%

9- 08/03/2023 - DORMAN LEGACY ADVISORS - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - IAR - Start Date 01/11/2023 - 160 Hours Per Month/ 8 Hours During Trading - Time Spent 100%

10- 02/13/2024 - DORMAN STRATEGIC CONSULTING LLC dba LEGACY BUSINESS ADVISORS, dba SUCCESSION+, SUCCESSION PLUS USA- Business Entity For Tax/Investment Purposes Only- Not Investment Related - At Reported Business Location(s)- Start Date 01/01/2011- 20 Hours Per Month/ 3 Hours During Trading

11- 12/24/2024- WELLth Advisory Services, LLC- Registered Investment Advisor Hybrid- IAR - Investment Related - At Reported Business Location(s) - Start Date 08/01/2024- 120 hours per month/ during trading- I provide investment advisory services through WELLth Advisory Services, LLC, an independent investment advisor firm. I started this business activity in 8/2024. I expect to spend approximately 120 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.

12-12/24/2024- STRATEGIC RETIREMENT PARTNERS- Registered Investment Advisor DBA- IAR- Inv Rel- At Reported Business Location(s) - Start Date 08/01/2023- 120 hours per month/ during trading

13- 01/02/2025- WELLth Advisory Services- Registered Investment Advisor DBA- IAR - Inv Rel- At Reported Business Location(s) - Start Date 08/01/2024- 20 hours per month/ during trading



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:	MML INVESTORS SERVICES, LLC
Allegations:	REGARDING A 401K ACCOUNT ESTABLISHED IN 2012, THE COMPLAINANTS ALLEGE THAT THE PRODUCER LEFT THEIR MONEY IN A CASH POSITION, CAUSING THEM TO MISS OUT ON MARKET EXPERIENCE AND ALSO MIXED THEIR CONTRIBUTIONS WITH THOSE OF THEIR EMPLOYEE.
Product Type:	Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	THE FIRM WAS UNABLE TO MAKE A GOOD FAITH DETERMINATION THAT DAMAGES WOULD BE UNDER \$5,000.
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:	01/21/2014
Complaint Pending?	No
Status:	Denied
Status Date:	02/11/2014

**Settlement Amount:****Individual Contribution Amount:****Broker Statement** INTERNAL CASE #201420025.**Disclosure 2 of 2****Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:** NEW ENGLAND SECURITIES**Allegations:** THE CLIENT ALLEGES THAT THE LIFE INSURANCE POLICY WAS MISREPRESENTED BECUASE HE WAS TOLD THAT THERE WERE NO TAXES OR MONTHLY ADMINISTRATION FEES DEDUCTED FROM HIS PREMIUM PAYMENTS.**Product Type:** Insurance**Other Product Type(s):** VARIABLE ORDINARY LIFE INSURANCE**Alleged Damages:** \$28,620.00**Customer Complaint Information****Date Complaint Received:** 10/23/2002**Complaint Pending?** No**Status:** Settled**Status Date:** 02/26/2003**Settlement Amount:** \$12,708.70**Individual Contribution Amount:** \$0.00**Firm Statement** WHILE NO EVIDENCE OF MISREPRESENTATION WAS FOUND, IN AN EFFORT TO RESOLVE THE CUSTOMER'S CONCERNS, THE COMPANY WAIVED THE SURRENDER CHARGE ON THE CLIENT'S INSURANCE POLICY.
.....**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** NEW ENGLAND SECURITIES**Allegations:** CLIENT ALLEGES THAT THE LIFE INSURANCE POLICY WAS MISREPRESENTES BECAUSE HE WAS TOLD THAT THERE WERE NO TAXES OR MONTHLY ADMINISTRATION FEES DEDUCTED FROM HIS PREMIUM PAYMENTS.**Product Type:** Insurance**Other Product Type(s):** VARIABLE ORDINARY LIFE INSURANCE**Alleged Damages:** \$28,260.00**Customer Complaint Information****Date Complaint Received:** 10/23/2002



Complaint Pending?	No
Status:	Settled
Status Date:	02/26/2003
Settlement Amount:	\$12,708.70
Individual Contribution Amount:	\$0.00
Broker Statement	WHILE NO EVIDENCE OF MISREPRESENTATION WAS FOUND, IN AN EFFORT TO RESOLVE THE CUSTOMER'S CONCERNS, THE COMPANY WAIVED HE SURRENDER CHARGE ON THE CLIENTS INSURANCE POLICY.



End of Report

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