



IAPD Report

MARK ALLEN HYMA

CRD# 1900119

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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 ALLEN HYMA (CRD# 1900119)

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 **01/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	AVANTAX ADVISORY SERVICES	104556	LA MESA, CA	08/11/1993 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	LA MESA, CA	03/13/1992 - 09/05/2025
B	AMERICAN INVESTORS COMPANY	38	SAN RAMON, CA	07/05/1989 - 03/09/1992

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

Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Firm ID#: 13572

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/05/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	09/05/2025
B	Arizona	Agent	Approved	09/05/2025
B	Arkansas	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Connecticut	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	09/05/2025
B	Idaho	Agent	Approved	09/05/2025
B	Indiana	Agent	Approved	09/05/2025
B	Iowa	Agent	Approved	09/05/2025
B	Kansas	Agent	Approved	09/05/2025



Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	09/05/2025
B	Massachusetts	Agent	Approved	09/05/2025
B	Michigan	Agent	Approved	09/05/2025
B	Missouri	Agent	Approved	09/05/2025
B	Montana	Agent	Approved	09/05/2025
B	Nevada	Agent	Approved	09/05/2025
B	New Mexico	Agent	Approved	09/05/2025
B	New York	Agent	Approved	09/05/2025
B	North Carolina	Agent	Approved	09/05/2025
B	Ohio	Agent	Approved	09/05/2025
B	Oregon	Agent	Approved	09/05/2025
B	Tennessee	Agent	Approved	09/05/2025
B	Texas	Agent	Approved	09/05/2025
B	Virginia	Agent	Approved	09/05/2025
B	Washington	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
8340 ALLISON AVE
LA MESA, CA 91942

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**



Qualifications

Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	09/05/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
8340 ALLISON AVE
LA MESA, CA 91942

CETERA INVESTMENT ADVISERS LLC
11990 Avenida Consentido
San Diego, CA 92128



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, 3 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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	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	12/17/1988

State Securities Law Exams

Exam	Category	Date
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	Uniform Securities Agent State Law Examination (S63)	Series 63	10/10/1995
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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	08/11/1993 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	LA MESA, CA
B	03/13/1992 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	LA MESA, CA
B	07/05/1989 - 03/09/1992	AMERICAN INVESTORS COMPANY	CRD# 38	SAN RAMON, CA
B	06/18/1989 - 07/27/1989	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	12/20/1988 - 06/18/1989	SOUTHMARK FINANCIAL SERVICES, INC.	CRD# 6518	

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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	LA MESA, CA, United States
01/2011 - Present	PFS Wealth Advisors, Inc	President	N	La Mesa, CA, United States
10/2007 - Present	Commercial Rental Property	Owner/Sole Proprietor	N	LaMesa, CA, United States
07/1987 - Present	SELF EMPLOYED	OTHER - TAX PREPARER	N	LA MESA, CA, United States
09/1993 - 09/2025	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	LA MESA, CA, United States
02/1992 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	LA MESA, CA, 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) Commercial Rental Property~'NIR'~8364/8366 La Mesa Blvd.~La Mesa~CA~91942~Rental Property
Owner/Management~Owner/Sole Proprietor~10/1/2007~1hrs~0hrs~Rent property to San Pasquale Winery, collect rent, landlord
- 2) ALLISON LEASING, LLC; POSITION: Member NATURE: Commercial Property ownership and leasing. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 12/07/2021; ADDRESS: 8340 Allison Ave, La Mesa CA 91942, United States; DESCRIPTION: Managing member involved in all aspects of owning, maintaining and renting commercial property.
- 3) VILLAGE LEASING, LLC; POSITION: Managing Member NATURE: Rental Property Owner/Management INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2007; ADDRESS: 8364/8366 La Mesa Blvd., La Mesa CA 91942, United States
DESCRIPTION: Rent property to San Pasquale Winery and Mattress Makers, collect rent, supervise repairs, etc.
- 4) MARK HYMA FINANCIAL SERVICES; POSITION: Owner/Sole Proprietor NATURE: Tax Preparation/Accounting INVESTMENT RELATED: No NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 07/01/1986; ADDRESS: 8340 Allison Ave, La Mesa CA 91942, United States; DESCRIPTION: Tax Prep
- 5) PFS ACQ CORPORATION; POSITION: Chief Executive Officer NATURE: PFS Acquisition Corp was formed to act as a holding company for newly acquired financial services books of business. INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 01/01/2013; ADDRESS: 8340 Allison Ave, La Mesa CA 91942, United States
DESCRIPTION: Discover and pursue purchase opportunities. Daily oversight of operations
- 6) PFS WEALTH ADVISORS, INC; POSITION: President NATURE: Tax Preparation/Accounting held out to the public as dba Professional Financial Services of San Diego. INVESTMENT RELATED: No NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 20 START DATE: 01/01/2011; ADDRESS: 8340 Allison Ave, La Mesa CA 91942, United States
DESCRIPTION: Tax prep and general day to day oversight.
- 7) SoCal Wealth Advisors
POSITION: Corp Officer/Director NATURE: Compensation for advise and financial product sales through Avantax. INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 10/01/2023
ADDRESS: 8340 Allison Ave, La Mesa CA 91942, United States
DESCRIPTION: Manage client relationships



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:	H.D. VEST INVESTMENT SERVICES
Allegations:	CLIENT ALLEGED THE REGISTERED REPRESENTATIVE ACTED NEGLIGENTLY IN FAILING TO PREVENT LOSSES IN CLIENT'S ACCOUNT DUE TO NEGLIGENCE AND OTHER WRONGFUL CONDUCT BY ANOTHER REGISTERED REPRESENTATIVE WHO WAS IN HIS OFFICE.
Product Type:	No Product
Alleged Damages:	\$1,550,000.00
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:	11/22/2011
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	03/13/2012
Settlement Amount:	
Individual Contribution Amount:	



Civil Litigation Information

Type of Court:	State Court
Name of Court:	SUPERIOR COURT OF CALIFORNIA, CENTRAL DISTRICT
Location of Court:	SAN DIEGO CALIFORNIA
Docket/Case #:	37-2011-00102890-CU-NP-CTL
Date Notice/Process Served:	03/13/2012
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	11/30/2012
Monetary Compensation Amount:	\$300,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	H.D. VEST
Allegations:	CLIENT IS ALLEGING THAT THE POLICY PURCHASED WAS MISREPRESENTED.
Product Type:	Other
Other Product Type(s):	VARIABLE UNIVERSAL LIFE POLICY
Alleged Damages:	\$100,000.00

Customer Complaint Information

Date Complaint Received:	07/28/2008
Complaint Pending?	No
Status:	Denied
Status Date:	10/13/2008
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE REPRESENTATIVE NAMED IN THIS COMPLAINT DID NOT SELL THE PRODUCT TO THIS CLIENT. THE CLIENT WAS A PART OF A BOOK OF BUSINESS WHICH THE REPRESENTATIVE ACQUIRED.



End of Report

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