



IAPD Report

JOHN MARK CANADA

CRD# 1906716

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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

JOHN MARK CANADA (CRD# 1906716)

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 **12/05/2012**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
	BUSINESS BLOCKS 101, INC.	CRD# 144398	12/08/2008
	COPPELL ADVISORY SOLUTIONS LLC	CRD# 156549	02/01/2013

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
	AMERICAN INVESTMENT SERVICES	144088	FORNEY, TX	10/29/2009 - 11/30/2012
	NEW ENGLAND SECURITIES CORPORATION	615	DALLAS, TX	07/03/2002 - 03/24/2004

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	8
Termination	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **COPPELL ADVISORY SOLUTIONS LLC**
Main Address: 9111 CYPRESS WATERS BLVD SUITE 140
DALLAS, TX 75019
Firm ID#: 156549

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	02/01/2013

Branch Office Locations

COPPELL ADVISORY SOLUTIONS LLC
12686 GLENWOOD TRAIL
FORNEY, TX 75126

Employment 2 of 2

Firm Name: **BUSINESS BLOCKS 101, INC.**
Main Address: FORNEY, TX
Firm ID#: 144398

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	12/08/2008

Branch Office Locations

BUSINESS BLOCKS 101, INC.
FORNEY, TX



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, 0 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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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/11/2008
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PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	10/29/2009 - 11/30/2012	AMERICAN INVESTMENT SERVICES	CRD# 144088	FORNEY, TX
IA	07/03/2002 - 03/24/2004	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	DALLAS, TX

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
12/2012 - Present	FUSION INVESTMENT ADVISORS, LLC	IA REP	Y	FORNEY, TX, United States
01/2004 - Present	BUSINESS BLOCKS 101, INC.	DIRECTOR	N	FORNEY, TX, 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.

JOHN MARK CANADA; 12686 GLENWOOD TRAIL FORNEY, TX; WORKS PRIMARILY AS AN INSURANCE AGENT, ENROLLED AGENT AND MORTGAGE BROKER. HE DEVOTES 40 HRS. A WEEK TO MEETING THE NEEDS OF CLIENTS AS THEY DEVELOP. MR. CANADA WILL ALSO OFFER CLIENTS BOTH MEDICARE & ELDER CARE PLANNING PRODUCTS & SERVICES WHEN FITS CLIENT NEEDS & OBJECTIVES. APPROX 10% OF HIS TIME WILL BE INCORPORATED INTO SERVICING THIS PART OF HIS EXISTING BUSINESS MODEL.



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	8
Termination	1

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 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NEW ENGLAND FINANCIAL

Allegations: CUSTOMER ALLEGES THAT AGENTS DID NOT DISCLOSE THE EXCESSIVE COST AND NEGATIVE CONSEQUENCES OF REPLACING LIFE INSURANCE POLICIES FOR A VARIABLE LIFE INSURANCE POLICY WITH A FACE AMOUNT OF \$3.5 MILLION. IN ADDITION, AGENTS ALLEGEDLY MISREPRESENTED THAT IN THE INSURED/OWNER WOULD NO LONGER HAVE PAY PREMIUMS FOLLOWING THE LIFE INSURANCE REPLACEMENT.

Product Type: Insurance

Alleged Damages: \$910,000.00

Customer Complaint Information

Date Complaint Received: 04/04/2006

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/04/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DISPUTE RESOLUTION CASE NUMBER 06-00573

Date Notice/Process Served: 04/04/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/22/2007

Monetary Compensation Amount: \$125,000.00

Individual Contribution Amount: \$22,000.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: CUSTOMER WAS CONCERNED THAT COVERAGE WOULD REQUIRE ADDITIONAL FUNDING DUE TO POOR RESULTS FROM UNDERLYING MUTUAL FUNDS.

Product Type: Insurance

Alleged Damages: \$910,000.00

Customer Complaint Information

Date Complaint Received: 04/04/2006

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/04/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DISPUTE RESOLUTION CASE NUMBER: 09-00573

Date Notice/Process Served: 04/04/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/22/2007

Monetary Compensation Amount: \$125,000.00

Individual Contribution Amount: \$22,000.00

Broker Statement REPLACEMENT OF PERSONAL COVERAGE FOR COVERAGE TO BE HELD IN A TRUST WAS SOLICITED BY THE CLIENTS'S ATTORNEY AND CLIENT TO



FULFILL ATTORNEY RECOMMENDATIONS. SETTLEMENT OCCURRED TO AVOID THE EXPENSE OF COURT COSTS. CANADA IS NOT PRIMARY AGENT. SUSPECTED AGENCY CONSPIRACY.

Disclosure 2 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NEW ENGLAND FINANCIAL

Allegations: CLIENT ALLEGES THAT HE WAS MISLED BY MR. CANADA REGARDING SEVERAL VARIABLE ANNUITY CONTRACTS AND LIFE INSURANCE POLICIES PURCHASED IN SEPTEMBER OF 2001. CLIENT IS REQUESTING A WAIVER OF SURRENDER CHARGES.

Product Type: Annuity(ies) - Variable

Other Product Type(s): LIFE INSURANCE

Alleged Damages: \$30,310.12

Customer Complaint Information

Date Complaint Received: 03/28/2005

Complaint Pending? No

Status: Denied

Status Date: 04/26/2005

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NEW ENGLAND FINANCIAL

Allegations: CLIENTS ATTORNEY ALLEGES THAT MR. CANADA MISREPRESENTED THE VARIABLE UNIVERSAL LIFE INSURANCE POLICY WHEN IT WAS PRESENTED, PURCHASED AND DURING THE CONTINUING ADMINISTRATION OF THE HILL INSURANCE TRUST.

Product Type: Insurance

Alleged Damages: \$81,213.00

Customer Complaint Information

Date Complaint Received: 01/28/2005

Complaint Pending? No

Status: Closed/No Action

Status Date: 03/03/2005

Settlement Amount:

Individual Contribution

**Amount:****Disclosure 4 of 8**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NEW ENGLAND LIFE INSURANCE

Allegations: CLIENT ALLEGES THAT THE VARIABLE LIFE INSURANCE POLICIES PURCHASED IN 1996 AND 1999 WERE ILLADVISED, INAPPROPRIATE AND UNSUITABLE FOR HIM.

Product Type: Insurance

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 10/12/2004

Complaint Pending? No

Status: Denied

Status Date: 12/23/2004

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: CLIENTS ARE ALLEGING THAT THEY WERE NOT TOLD OF THEIR INSURANCE POLICY'S SURRENDER CHARGE, AND THAT THE INSURANCE SERVES NO PURPOSE FOR THEM. THEY WOULD LIKE THEIR INSURANCE PREMIUMS RETURNED.

Product Type: Insurance

Alleged Damages: \$49,906.36

Customer Complaint Information

Date Complaint Received: 06/30/2004

Complaint Pending? No

Status: Denied

Status Date: 11/15/2004

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE COMPANY FOUND NO BASIS TO SUPPORT THE CLIENTS' ALLEGATIONS, AND THE COMPLAINT WAS DENIED.

**Disclosure 6 of 8**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: THE CUSTOMER ALLEGES THAT SHE WAS NOT MADE AWARE OF THE SURRENDER CHARGE ASSOCIATED WITH HER VARIABLE SURVIVORSHIP LIFE INSURANCE POLICY AND THAT SHE WAS NOT INFORMED THAT BOTH OF THE INSUREDS HAD TO DIE IN ORDER FOR THE DEATH BENEFIT TO BE PAID. IN ADDITION, THE CUSTOMER ALLEGES THAT MR. CANADA RECOMMENDED THAT SHE SET UP A SPECIAL NEEDS TRUST IN HER DAUGHTER'S NAME AND THAT SHE HAS SINCE LEARNED THAT HAVING ANY ASSETS IN HER DAUGHTER'S NAME DISQUALIFIES HER DAUGHTER FROM RECEIVING GOVERNMENT RELATED BENEFITS.

Product Type: Insurance

Alleged Damages: \$15,754.80

Customer Complaint Information

Date Complaint Received: 04/30/2004

Complaint Pending? No

Status: Settled

Status Date: 01/25/2005

Settlement Amount: \$40,161.42

Individual Contribution Amount: \$0.00

Firm Statement NEW ENGLAND AGREED WITH CLIENT TO CANCEL THE VARIABLE LIFE POLICY AND REFUND ALL THE PREMIUMS PAID OF \$40161.42

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: CUSTOMER RELATED THAT 2ND TO DIE LIFE COVERAGE HELD IN TRUST WAS A CONCERN FOR HER DISABLED CHILD'S FUTURE GOVERNMENT QUALIFICATIONS.

Product Type: Insurance

Alleged Damages: \$15,754.80

Customer Complaint Information

Date Complaint Received: 04/30/2004

Complaint Pending? No

Status: Settled

Status Date: 01/25/2008

Settlement Amount: \$40,161.42



Individual Contribution Amount: \$0.00

Broker Statement AS PER CLIENT, REQUEST WAS BASED UPON CONFLICTING LEGAL ADVICE FROM SEVERAL ATTORNEYS. NEW ENGLAND, AS AN ACT OF GOOD FAITH CANCELLED THE LIFE COVERAGE AND REFUNDED ALL PREMIUMS PAID. CLIENT SENT SIGNED STATEMENT DENYING SHE HAD PERSONAL COMPLAINT. SUSPECT AGENCY CONSPIRACY. CANADA WAS NOT PRIMARY AGENT.

Disclosure 7 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: THE CLIENT ALLEGES THAT THE POLICY WAS NOT PROPERLY EXPLAINED HIM AND THAT IT WAS UNSUITABLE FOR HIS NEEDS.

Product Type: Insurance

Alleged Damages: \$7,407.00

Customer Complaint Information

Date Complaint Received: 05/20/2003

Complaint Pending? No

Status: Settled

Status Date: 08/26/2003

Settlement Amount: \$16,572.78

Individual Contribution Amount: \$0.00

Broker Statement AFTER A THOROUGH INVESTIGATION, IT WAS DETERMINED THAT THE CLIENT DID RECEIVE PROPER DISCLOSURE. HOWEVER, AS AN ACT OF GOOD FAITH, THE COMPANY CANCELLED THE CLIENTS' TWO VARIABLE UNIVERSAL LIFE INSURANCE POLICIES AND REFUNDED THE PREMIUMS PAID. MARK CANADA WAS NOT THE PRIMARY AGENT.

Disclosure 8 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: THE CLIENT ALLEGES THAT THE REPRESENTATIVE MISREPRESENTED THE VARIABLE UNIVERSAL LIFE INSURANCE POLICY WHEN IT WAS PURCHASED, THAT HE FAILED TO COMPLETE A 1035 EXCHANGE, AND THAT HE MISREPRESENTED THE POLICY AS A PAID UP POLICY.

Product Type: Insurance

Alleged Damages: \$67,446.06

Customer Complaint Information

Date Complaint Received: 03/31/2003



Complaint Pending?	No
Status:	Denied
Status Date:	02/19/2004
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	ON 9/10/2003 AFTER A THOROUGH INVESTIGATION, THE COMPLAINT WAS DENIED, AS NO WRONGDOING WAS FOUND. ON 2/19/2004 THE COMPLAINT WAS RE-OPENED DUE TO A DEMAND UNDER THE TEXAS DECEPTIVE TRADE PRACTICES ACT.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	NEW ENGLAND SECURITIES
Termination Type:	Discharged
Termination Date:	03/24/2004
Allegations:	VIOLATION OF INVESTMENT RELATED STATUTES
Product Type:	Annuity(ies) - Variable
Other Product Types:	
Broker Statement	DELIBRATE MISINFORMATION FROM FIRM LED TO TERMINATION.



End of Report

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