



IAPD Report

RODNEY LEE CLARK

CRD# 1928306

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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

RODNEY LEE CLARK (CRD# 1928306)

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 **03/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SIGMA FINANCIAL CORPORATION	CRD# 14303	04/24/2012
IA	SPC	CRD# 110692	07/03/2012

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **19** 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	LPL FINANCIAL LLC	6413	TECUMSEH, MI	05/18/2010 - 03/01/2012
B	LPL FINANCIAL LLC	6413	TECUMSEH, MI	10/28/2005 - 03/01/2012
B	SIGMA FINANCIAL CORPORATION	14303	ANN ARBOR, MI	01/03/1998 - 11/09/2005

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	1
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 **19** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **SIGMA FINANCIAL CORPORATION**
Main Address: 300 PARKLAND PLAZA
ANN ARBOR, MI 48103-9508
Firm ID#: 14303

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	04/24/2012
B Nasdaq Stock Market	General Securities Representative	Approved	04/24/2012
B Alabama	Agent	Approved	01/10/2024
B California	Agent	Approved	01/04/2019
B Colorado	Agent	Approved	02/26/2019
B Florida	Agent	Approved	08/29/2012
B Illinois	Agent	Approved	01/08/2015
B Indiana	Agent	Approved	09/08/2022
B Kansas	Agent	Approved	02/12/2019
B Kentucky	Agent	Approved	07/08/2020
B Maine	Agent	Approved	12/06/2023
B Maryland	Agent	Approved	01/07/2019
B Michigan	Agent	Approved	07/03/2012



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	08/27/2024
B North Carolina	Agent	Approved	03/25/2024
B Ohio	Agent	Approved	10/23/2012
B Oklahoma	Agent	Approved	03/31/2026
B Oregon	Agent	Approved	10/30/2013
B Texas	Agent	Approved	09/21/2012
B Virginia	Agent	Approved	07/19/2012
B Wisconsin	Agent	Approved	04/20/2022

Branch Office Locations

132 W CHICAGO BLVD
TECUMSEH, MI 49286

Employment 2 of 2

Firm Name: **SPC**
 Main Address: 300 PARKLAND PLAZA
 ANN ARBOR, MI 48103
 Firm ID#: 110692

Regulator	Registration	Status	Date
IA Michigan	Investment Adviser Representative	Approved	07/03/2012
IA Texas	Investment Adviser Representative	Restricted Approval	01/05/2013

Branch Office Locations

SPC
132 W CHICAGO BLVD
TECUMSEH, MI 49286



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 2 state securities law exams.

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
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General Securities Representative Examination (S7)	Series 7	05/20/1989
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/27/2014
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Uniform Securities Agent State Law Examination (S63)	Series 63	03/21/1989
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PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	05/18/2010 - 03/01/2012	LPL FINANCIAL LLC	CRD# 6413	TECUMSEH, MI
B	10/28/2005 - 03/01/2012	LPL FINANCIAL LLC	CRD# 6413	TECUMSEH, MI
B	01/03/1998 - 11/09/2005	SIGMA FINANCIAL CORPORATION	CRD# 14303	ANN ARBOR, MI
B	02/10/1997 - 01/13/1998	CORELINK FINANCIAL, INC.	CRD# 23302	ST. CLOUD, MN
B	07/18/1996 - 02/12/1997	COMERICA SECURITIES	CRD# 17079	AUBURN HILLS, MI
B	01/05/1990 - 07/29/1996	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	01/05/1990 - 12/10/1993	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	NEWARK, NJ
B	07/24/1989 - 01/01/1990	MARINER FINANCIAL SERVICES, INC.	CRD# 8292	LARGO, FL
B	05/23/1989 - 07/03/1989	BLINDER, ROBINSON & CO., INC.	CRD# 5096	

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
04/2012 - Present	SIGMA FINANCIAL CORPORATION	REGISTERED REPRESENTATIVE	Y	ANN ARBOR, MI, United States
04/2012 - Present	SPC	INVESTMENT ADVISOR REPRESENTATIVE	Y	ANN ARBOR, MI, 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. AS AN INDEPENDENTLY LICENSED INSURANCE AGENT, I AM APPOINTED WITH VARIOUS INSURANCE COMPANIES.
2. ROD CLARK FINANCIAL SERVICES, INC., SALE OF FIXED PRODUCTS (LIFE, ANNUITY AND HEALTH) THROUGH



Registration & Employment History



OTHER BUSINESS ACTIVITIES

INSURANCE AGENCY. START DATE: 7/22/15, APPROX. 8 HRS/MO, ALL DURING TRADING HOURS.



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	1
Termination	1

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: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 03/06/2014

Docket/Case Number: [2012031611501](#)

Employing firm when activity occurred which led to the regulatory action: LPL FINANCIAL, LLC

Product Type: No Product

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, CLARK CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT DURING HIS ASSOCIATION WITH HIS FORMER MEMBER FIRM, HE OBTAINED SOME SIGNED, BUT OTHERWISE BLANK OR INCOMPLETE FORMS FROM CUSTOMERS AND THE FORMS WERE MAINTAINED IN THE FIRM'S CUSTOMER FILES. THE FINDINGS STATED THAT THE FORMS RELATED TO SEVERAL CUSTOMERS, AND INCLUDED AUTOMATED CLEARING HOUSE AUTHORIZATIONS, DISCLOSURE STATEMENTS, ACCOUNT TRANSFER FORMS, CUSTOMER ACKNOWLEDGEMENTS, DISTRIBUTION REQUESTS, FUND TRANSFER AUTHORIZATIONS, INVESTMENT SWITCH/EXCHANGE DISCLOSURES, IRREVOCABLE STOCK OR BOND POWERS, JOURNAL REQUESTS, PROSPECTUS RECEIPTS, AND WITHDRAWAL REQUESTS. THE FORMS, WHEN DATED, WERE DATED BETWEEN NOVEMBER 4, 2005 AND AUGUST 26, 2011.



Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 03/06/2014

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	30 DAYS
Start Date:	04/07/2014
End Date:	05/06/2014

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

Amount Waived:

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Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/06/2014
Docket/Case Number:	2012031611501
Employing firm when activity occurred which led to the regulatory action:	LPL FINANCIAL, LLC



Product Type:	No Product
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, CLARK CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT DURING HIS ASSOCIATION WITH HIS FORMER MEMBER FIRM, HE OBTAINED SOME SIGNED, BUT OTHERWISE BLANK OR INCOMPLETE FORMS FROM CUSTOMERS AND THE FORMS WERE MAINTAINED IN THE FIRM'S CUSTOMER FILES. THE FINDINGS STATED THAT THE FORMS RELATED TO SEVERAL CUSTOMERS, AND INCLUDED AUTOMATED CLEARING HOUSE AUTHORIZATIONS, DISCLOSURE STATEMENTS, ACCOUNT TRANSFER FORMS, CUSTOMER ACKNOWLEDGEMENTS, DISTRIBUTION REQUESTS, FUND TRANSFER AUTHORIZATIONS, INVESTMENT SWITCH/EXCHANGE DISCLOSURES, IRREVOCABLE STOCK OR BOND POWERS, JOURNAL REQUESTS, PROSPECTUS RECEIPTS, AND WITHDRAWAL REQUESTS. THE FORMS, WHEN DATED, WERE DATED BETWEEN NOVEMBER 4, 2005 AND AUGUST 26, 2011.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/06/2014
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	30 DAYS
Start Date:	04/07/2014
End Date:	05/06/2014
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	03/18/2014
Was any portion of penalty waived?	No
Amount Waived:	



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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Sigma Financial Corporation
Allegations:	In January of 2013, client purchased a fixed annuity and alleges that it was inappropriate and misrepresented.
Product Type:	Annuity-Fixed
Alleged Damages:	\$5,896.23
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:	08/02/2016
Complaint Pending?	No
Status:	Settled
Status Date:	01/10/2017
Settlement Amount:	\$6,307.80
Individual Contribution Amount:	\$0.00

Broker Statement THE CLIENT PURCHASED A SINGLE PREMIUM ANNUITY WITH A GUARANTEED PAYOUT OVER FIVE YEARS. THE ANNUITY HAS LOST NO VALUE. THE REPRESENTATIVE DENIES ALL THE CLIENT ALLEGATIONS IN LIGHT OF THE SIGNED CLIENT DOCUMENTS AND DISCLOSURES. GLEANER LIFE SETTLED THIS CLAIM BY RETURNING THE FRONT END SALES LOAD.



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: Firm
Firm Name: LPL FINANCIAL LLC
Termination Type: Discharged
Termination Date: 02/15/2012
Allegations: VIOLATIONS OF THE FIRM'S DOCUMENT SIGNATURE POLICY.
Product Type: No Product

Reporting Source: Individual
Firm Name: LPL FINANCIAL LLC.
Termination Type: Discharged
Termination Date: 02/15/2012
Allegations: VIOLATION OF THE FIRM'S DOCUMENT SIGNATURE POLICY
Product Type: No Product



End of Report

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