



IAPD Report

MARK BURKHARDT

CRD# 2027111

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



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 BURKHARDT (CRD# 2027111)

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 **02/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STONEBROOK INVESTMENT, LLC	CRD# 168359	07/17/2013

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** 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
B	LOMBARD SECURITIES INCORPORATED	27954	KEARNEYSVILLE, WV	04/16/2012 - 01/02/2014
IA	LOMBARD ADVISERS INCORPORATED	108231	KEARNEYVILLE, WV	04/16/2012 - 07/17/2013
IA	WESTMINSTER FINANCIAL ADVISORY CORP	110283	BEAVERCREEK, OH	02/20/2009 - 04/17/2012

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
Criminal	2
Customer Dispute	3




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 **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STONEBROOK INVESTMENT, LLC**
Main Address: 20937 ASHBURN ROAD
SUITE 200
ASHBURN, VA 20147
Firm ID#: 168359

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	09/25/2018
	North Carolina	Investment Adviser Representative	Approved	08/30/2018
	Texas	Investment Adviser Representative	Restricted Approval	05/24/2021
	Virginia	Investment Adviser Representative	Approved	07/17/2013

Branch Office Locations

STONEBROOK INVESTMENT, LLC
20937 ASHBURN ROAD
SUITE 200
ASHBURN, VA 20147



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, 1 general industry/product exam, 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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B General Securities Representative Examination (S7)	Series 7	02/10/1990
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/29/1999
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B Uniform Securities Agent State Law Examination (S63)	Series 63	03/07/1990
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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
B	04/16/2012 - 01/02/2014	LOMBARD SECURITIES INCORPORATED	CRD# 27954	KEARNEYSVILLE, WV
IA	04/16/2012 - 07/17/2013	LOMBARD ADVISERS INCORPORATED	CRD# 108231	KEARNEYVILLE, WV
IA	02/20/2009 - 04/17/2012	WESTMINSTER FINANCIAL ADVISORY CORP	CRD# 110283	BEAVERCREEK, OH
B	02/20/2009 - 04/17/2012	WESTMINSTER FINANCIAL SECURITIES, INC.	CRD# 20677	BEAVERCREEK, OH
IA	01/01/2000 - 02/23/2009	CAPITOL SECURITIES MANAGEMENT, INC.	CRD# 14169	KEARNEYSVILLE, WV
B	04/16/1999 - 02/23/2009	CAPITOL SECURITIES MANAGEMENT, INC.	CRD# 14169	MCLEAN, VA
B	08/09/1991 - 04/16/1999	WASHINGTON INVESTMENT CORPORATION	CRD# 25727	WASHINGTON, DC
B	02/13/1990 - 08/16/1991	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	

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
07/2013 - Present	STONEBROOK INVESTMENT, LLC	MANAGING MEMBER/INVESTMENT ADVISER REPRESENTATIVE	Y	FAIRFAX, VA, 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.

No information reported.



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
Criminal	2
Customer Dispute	3

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: FLORIDA DIVISION OF SECURITIES

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/15/1993

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: FAILURE TO PROVIDE REQUESTED INFORMATION
NEEDED TO COMPLETE REGISTRATION PROCESS IN TIMELY MANNER.
FIRM
FAILED TO WITHDRAW REQUEST FOR REGISTRATION BY STATED
DEADLINE.

Current Status: Final

Resolution: Decision

Resolution Date: 11/15/1993

Sanctions Ordered: Revocation/Expulsion/Denial



Other Sanctions Ordered:

Sanction Details:

REQUEST FOR REGISTRATION IN STATE OF FLORIDA
DENIED.

Broker Statement

Not Provided



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source: Individual

Court Details: DC SUPERIOR COURT
CASE M 03843 86 C (M IS FOR MISDEMEANOR)

Charge Date: 04/05/1986

Charge Details: UNREGISTERED GUN
PPW GUN
AMMUNITION VIOLATION

THIS IS FROM 1986 AND WAS A MISDEMEANOR ONLY, THE COURT DOCUMENTS FROM DC START WITH A M CASE # 0384386C/WHICH IS ONLY A MISDEAMEANOR.
PLEA: NOT GUILTY

Felony? Yes

Current Status: Final

Status Date: 10/17/1986

Disposition Details: ALL CHARGES WERE DROPPED, PROSECUTOR DECIDED NOT TO PURSUE THESE CHARGES. THE CHARGE CASE # M 03843 86 C WAS ONLY A MEASDEAMONR.

Disclosure 2 of 2

Reporting Source: Individual

Court Details: FAIRFAX COUNTY COURT
89-0004926A

Charge Date: 03/16/1989

Charge Details: I WAS CHARGED WITH FORGING A PUBLIC DOCUMENT (A TRAFFIC TICKET)

Felony?

Current Status: Final

Status Date: 07/20/1989

Disposition Details: I PLEAD GUILTY TO A MISDEMEANOR CHARGE OF GIVING FALSE INFORMATION TO A POLICE OFFICER AND WAS FINED \$500.00.

Broker Statement I WAS PULLED OVER BY OFFICER [THIRD PARTY], THE SAME OFFICER WHOM, I HAD NAMED IN A COMPLAINT THAT I HAD FILED THREE DAYS EARLIER WITH HIS SUPERVISOR, AND I HAD SIGNED A TRAFFIC CITATION USING MY NAMED MARK BURKHARDT. THE OFFICER DECIDED TO CHARGE ME WITH FORGING A PUBNLIC DOCUMENT BECAUSE I DID NOT SIGN IT AS MARK BURKHORDT-ANDINO, A NAME THAT I HAVE NOT USED FOR FOUR YEARS. I THEN FILED A NEW COMPLAINT WITH THE INTERNAL AFFAIRS DEPT. FOR CONTINUED HARASSMENT.



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 3

Reporting Source: Firm

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

Allegations: CLIENT FILED ARBITRATION AGAINST FIRM FOR NEGLIGENCE FOR LOSSES STEMMING FROM

Product Type: Equity-OTC
Options

Alleged Damages: \$2,500,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 13-03240

Filing date of arbitration/CFTC reparation or civil litigation: 11/11/2013

Customer Complaint Information

Date Complaint Received: 11/20/2013

Complaint Pending? No

Status: Settled

Status Date: 12/09/2014

Settlement Amount: \$455,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LOMBARD SECURITIES INOCORPORATED

Allegations: LOSS IN LARGE APPLE INC. CALL OPTION POSITION. CUSTOMER IS SUING FOR UNDERPERFORMANCE AND NEGLIGENCE.

Product Type: Other: LISTED EQUITY OPTION



Alleged Damages: \$2,500,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 13-03240

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 11/11/2013

Customer Complaint Information

Date Complaint Received: 11/20/2013

Complaint Pending? No

Status: Settled

Status Date: 12/09/2014

Settlement Amount: \$455,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement MR. BURKHARDT WAS NOT NAMED A RESPONDENT IN THIS COMPLAINT AND THEREFORE DID NOT INCUR ANY LEGAL FEES OR PAY ANY PORTION OF THE SETTLEMENT AMOUNT. THE TRADES IN QUESTION WERE UNSOLICITED AND EXECUTED AT THE SPECIFIC REQUEST OF THE CLIENT WITH THE DIRECT APPROVAL AND OVERSIGHT OF THE FIRM'S COMPLIANCE OFFICER. THERE WERE NO FINES OR REGULATORY ACTIONS PERTAINING TO MR. BURKHARDT IN THIS MATTER.

Disclosure 2 of 3

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** WASHINGTON INVESTMENT CORP.

Allegations: I WAS ACCUSED OF A LACK OF SUPERVISION, I WAS NOT INVOLVED IN ANY FINANCIAL TRANSACTIONS WITH THIS PERSON BEFORE, DURING, OR AFTER SHE WAS A CLIENT OF THE FIRM, NOR WAS I THE SUPERVISOR OF ANY BROKER SHE WORKED WITH AT THE FIRM.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 03/29/2002

Complaint Pending? No

Status: Settled

Status Date: 12/31/2003



Settlement Amount: \$2,500.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 01-06058

Date Notice/Process Served: 03/29/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/31/2003

Monetary Compensation Amount: \$2,500.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: WASHINGTON INVESTMENT CORPORATION

Allegations: BRCH OF FIDUCIARY DT; MISREPRESENTATION; OMISSION OF FACTS; CHURNING

Product Type: Options

Other Product Type(s): UNKNOWN TYPE OF SECURITIES

Alleged Damages: \$80,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [UNKNOWN - CASE #95-01828](#)

Date Notice/Process Served: 04/19/1995

Arbitration Pending? No

Disposition: Other

Disposition Date: 11/18/1996

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$3,000.00 JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WASHINGTON INVESTMENT CORPORATION



Allegations: THE [CUSTOMERS] CLAIMED BREACH OF FIDUCIARY DUTY: BY MAKING UNTRUE AND MISLEADING STATEMENTS, BY ALLOWING UNAUTHORIZED PERSONS TO CONDUCT TRADES & BY MAKING INVESTMENTS WHICH WERE NOT SUITABLE AND CHURNING INVESTMENTS & OVERCHARGING COMMISSIONS. THE [CUSTOMERS] REQUESTED DAMAGES IN THE AMOUNT OF \$80,000 ACTUAL/COMPENSATORY & PUNITIVE DAMAGES OF AT LEAST 3 TIMES AS MUCH PLUS INTEREST AND ATTORNEY'S FEES. I WAS ONE OF SEVERAL RESPONDENTS NAMED IN THIS COMPLAINT.

Product Type:

Alleged Damages: \$80,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NATIONAL ASSOC. OF SECURITIES DEALERS; 95-01828](#)

Date Notice/Process Served: 04/19/1995

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/18/1996

Monetary Compensation Amount: \$3,000.00

Individual Contribution Amount:

Broker Statement THE [CUSTOMERS] WERE AWARDED \$3000-NO INTEREST. THE [CUSTOMERS] REQUEST FOR PUNITIVE DAMAGES WAS DENIED. EACH PARTY TO PAY ITS OWN COSTS AND EXPENSES, INCLUDING ATTORNEYS' FEES. ANY RELIEF NOT SPECIFICALLY ADDRESSED HEREIN WAS DENIED. NO DISCIPLINARY ACTIONS WERE RENDERED IN THIS ARBITRATION. NOT PROVIDED



End of Report

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