



## IAPD Report

# JOHN MARK WILLSON

CRD# 2035475

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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 WILLSON (CRD# 2035475)

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 **05/19/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PRIVATE CLIENT SERVICES, LLC	CRD# 120222	05/01/2026
<b>IA</b>	TBG-BEDFORD GROUP LLC	CRD# 341573	05/01/2026

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	6363	WICHITA, KS	10/05/2009 - 05/19/2026
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	6363	WICHITA, KS	10/05/2009 - 05/19/2026
<b>IA</b>	AMERIPRISE ADVISOR SERVICES, INC.	5979	WICHITA, KS	11/10/2008 - 10/05/2009

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

### Employment 1 of 2

Firm Name: **PRIVATE CLIENT SERVICES, LLC**  
Main Address: 2225 LEXINGTON ROAD  
LOUISVILLE, KY 40206  
Firm ID#: 120222

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	05/01/2026
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	05/01/2026
<b>B</b>	Arizona	Agent	Approved	05/01/2026
<b>B</b>	Arkansas	Agent	Approved	05/01/2026
<b>B</b>	California	Agent	Approved	05/01/2026
<b>B</b>	Florida	Agent	Approved	05/01/2026
<b>B</b>	Iowa	Agent	Approved	05/21/2026
<b>B</b>	Kansas	Agent	Approved	05/01/2026
<b>B</b>	Massachusetts	Agent	Approved	05/01/2026
<b>B</b>	Minnesota	Agent	Approved	05/01/2026
<b>B</b>	Missouri	Agent	Approved	05/01/2026
<b>B</b>	Nevada	Agent	Approved	05/01/2026
<b>B</b>	New York	Agent	Temporary Registration	05/01/2026



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Oklahoma	Agent	Approved	05/19/2026
<b>B</b> South Carolina	Agent	Approved	05/01/2026
<b>B</b> Texas	Agent	Approved	05/01/2026
<b>B</b> Washington	Agent	Approved	05/21/2026

### Branch Office Locations

**PRIVATE CLIENT SERVICES, LLC**  
Lake Havasu, AZ

**PRIVATE CLIENT SERVICES, LLC**  
7330 W 33rd St N Ste 114  
Wichita, KS 67205

**PRIVATE CLIENT SERVICES, LLC**  
Afton, OK

**PRIVATE CLIENT SERVICES, LLC**  
Wichita, KS

### Employment 2 of 2

Firm Name: **TBG-BEDFORD GROUP LLC**  
Main Address: 10310 GERMAN BLVD  
SAINT LOUIS, MO 63131  
Firm ID#: 341573

Regulator	Registration	Status	Date
<b>IA</b> Kansas	Investment Adviser Representative	Approved	05/01/2026
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	05/01/2026

### Branch Office Locations

**TBG-BEDFORD GROUP LLC**  
7330 W 33rd Street North  
Suite 114  
Wichita, KS 67205



## 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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/30/2008
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/04/2008

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	03/31/2009
General Securities Representative Examination (S7)	Series 7	09/12/1991
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/20/1990

#### State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	10/31/2008
Uniform Securities Agent State Law Examination (S63)	Series 63	09/18/1991

### 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	10/05/2009 - 05/19/2026	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	WICHITA, KS
IA	10/05/2009 - 05/19/2026	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	WICHITA, KS
IA	11/10/2008 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	WICHITA, KS
B	11/02/2007 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	WICHITA, KS
IA	10/02/2006 - 11/07/2007	EDWARD JONES	CRD# 250	AUGUSTA, KS
B	10/18/1991 - 11/07/2007	EDWARD JONES	CRD# 250	AUGUSTA, KS
B	06/22/1990 - 02/04/1991	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	06/22/1990 - 02/04/1991	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	NEWARK, NJ

### 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
05/2026 - Present	Private Client Services, LLC	Registered Representative	Y	Wichita, KS, United States
05/2026 - Present	TBG-Bedford Group LLC	Investment Adviser Representative	Y	Wichita, KS, United States
03/2020 - 05/2026	Ameriprise Financial Services, LLC	Financial Advisor	Y	Wichita, KS, United States
10/2009 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Wichita, KS, United States
10/2009 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Wichita, KS, 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.

The Bedford Group; investment-related; 7330 W 33rd St N, Ste 114; Wichita, KS 67205; RIA; investment adviser representative; start date 05/2026.



## 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	3

### 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:** EDWARD JONES

**Allegations:** THE CLIENT CLAIMS THAT THE FORMER FA INDICATED THE BONDS THAT HE ADVISED THE CLIENT'S TO PURCHASE WITH THE PROCEEDS FROM THE SALE MUTUAL FUNDS WERE REDEEMABLE AT FACE VALUE AFTER FOUR YEARS. THE CLIENT ALSO CLAIMS THIS SAME INFORMATION WAS PROVIDED REGARDING TO PREVIOUSLY PURCHASED BONDS, CWMBB BONDS AND RESIDENTIAL FUNDING BONDS. THE CLIENT STATES THAT AFTER THE FIRST INCOME CHECK WAS RECEIVED FROM THE NEW BONDS IN JULY 2007 SHE QUESTIONED THE AMOUNT OF INCOME AND CLAIMS SHE WAS TOLD THAT THE REST WAS BEING REINVESTED. THE CLIENT STATES THAT THE FUNDS WERE ACTUALLY GOING INTO A CASH ACCOUNT. THE CLIENT STATED SHE DID NOT UNDERSTAND WHY THE FA DID THIS. THE CLIENT ALSO STATES THAT SHE RECENTLY WAS TOLD BY THE CURRENT FA THAT THE FORMER FAS GUARANTEE OF A FULL REDEMPTION AFTER FOUR YEARS WAS NOT NECESSARILY TRUE. THE CLIENT'S HUSBAND IS RECENTLY DECEASED AND THE CLIENT STATES THE FORMER FA DID NOT INFORM HER THAT SHE COULD REQUEST PAYOUT OF THE BONDS. THE CLIENT WANTS COMPENSATION FOR LOST INCOME FROM BOND PAYMENTS GOING INTO A CASH ACCOUNT. THE CLIENT ALSO STATES SHE WOULD NOT HAVE AGREED TO SELL THE MUTUAL FUNDS TO BY THE BONDS IN JUNE AND SHE WOULD HAVE REDEEMED THE BONDS AT THE TIME OF HER HUSBAND'S DEATH. LOSSES WOULD EXCEED \$5,000

**Product Type:** Debt - Corporate

**Alleged Damages:** \$5,000.00

**Customer Complaint Information****Date Complaint Received:** 12/17/2007**Complaint Pending?** No**Status:** Settled**Status Date:** 01/29/2008**Settlement Amount:** \$25.00**Individual Contribution Amount:** \$0.00**Firm Statement**

THE FA STATED THAT HE DID NOT OFFER A GUARANTEE THAT THE BONDS THE CLIENT REFERS TO COULD BE REDEEMED AT FACE VALUE AFTER A FOUR YEAR HOLDING PERIOD. THE FA STATED THAT HE DID DISCUSS HOW THE EARLY REDEMPTION FEATURE WORKS AND EXPLAINED THAT IT COULD BE EXERCISED AFTER APPROXIMATELY THREE YEARS AFTER PURCHASE. THE FA STATED THAT HE DISCUSSED THAT IT MAY TAKE QUITE A WHILE AFTER BONDS ARE SUBMITTED FOR REDEMPTION BEFORE PAYMENT. THE ONLY BOND THAT WAS ELIGIBLE FOR THE ESTATE FEATURE HAS BEEN PUT IN FOR REDEMPTION. INTEREST WAS NOT PLACED IN AN ACCOUNT WITH HIGHER INTEREST WAS BECAUSE UNLESS THERE WERE FUNDS AVAILABLE IN THE AMOUNT OF \$2,500 OR MORE A MONTHLY FEE WOULD HAVE BEEN INCURRED. ALTHOUGH THIS SEEMS TO BE IN CLIENT'S BEST INTEREST AT THE TIME, THE ACCOUNT HAS BEEN CREDITED WITH INTEREST IN THE AMOUNT OF \$25.00. IT APPEARS AS THOUGH THE FA HANDLED THESE MATTERS PROPERLY.

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**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** EDWARD JONES**Allegations:** CLIENT CLAIMS THAT THAT BONDS WERE REPRESENTED AS REDEEMABLE AT FACE VALUE AFTER FOUR YEARS AND THAT PART OF INCOME DERIVED FROM BONDS WAS BEING REINVESTED WHEN IT WAS ACTUALLY GOING INTO A CASH ACCOUNT. CLIENT ALSO ALLEGES THAT SHE WAS NOT INFORMED THAT SHE COULD REQUEST A PAYOUT OF THE BONDS AFTER HER HUSBAND'S DEATH. SEEKING COMPENSATION FOR LOST INCOME FROM PART OF BOND PAYMENTS GOING INTO CASH ACCOUNT VERSUS BEING REINVESTED.**Product Type:** Debt - Corporate**Alleged Damages:** \$5,000.00**Customer Complaint Information****Date Complaint Received:** 12/17/2007**Complaint Pending?** No**Status:** Settled**Status Date:** 01/29/2008**Settlement Amount:** \$25.00**Individual Contribution Amount:** \$0.00

**Broker Statement**

I DENY THE ALLEGATIONS. THE FEATURES AND CHARACTERISTICS ASSOCIATED WITH THE BONDS WERE EXPLAINED IN DETAIL TO THE CLIENT. IN ADDITION, I BELIEVE ANY ALLEGED DAMAGES WOULD BE WELL BELOW THE \$5000 REPORTING THRESHOLD. THE FIRM REVIEWED THE MATTER AND DETERMINED THAT IT WAS HANDLED PROPERLY.

**Disclosure 2 of 3****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

EDWARD JONES

**Allegations:**

CLIENT IS DISSATISFIED WITH AMERICAN LEGACY INVESTMENT AND BELIEVES THE IR WAS ONLY TRYING TO MAKE A COMMISSION. CLIENT CLAIMS SHE DOES NOT FULLY UNDERSTAND THE INVESTMENT AND WANTED HER RETIREMENT FUNDS IN A DEPENDABLE COMPANY. CLIENT WANTS THE RETURN OF MOST OF HER \$27,563.58 INVESTMENT.

**Product Type:**

Annuity(ies) - Variable

**Alleged Damages:**

\$27,563.58

**Customer Complaint Information****Date Complaint Received:**

02/06/2003

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

06/09/2003

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

IR STATED THAT IN SEPTEMBER 2000, HE DISCUSSED WITH THE CLIENT ANNUITIZING HER AMERICAN LEGACY ANNUITY. AT THE TIME OF THE ANNUITIZATION, THE VALUE OF THE CONTRACT WAS \$27,563.58. THE CLIENT WANTED THE DISTRIBUTIONS COMPLETED BY 2003. CLIENT TO DATE HAS RECEIVED \$16,140.36, WITH THE FINAL PAYMENT DUE SEPTEMBER 2003. THE PAYMENTS WILL VARY AS THEY ARE BASED UPON CURRENT MARKET CONDITIONS, WHICH IS A RISK ASSOCIATED WITH INVESTING. CLAIM DENIED.

**Disclosure 3 of 3****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

EDWARD JONES

**Allegations:**

POA FOR THE CLIENT STATES HE BELIEVES THE PUTNAM HIGH YIELD TRUST WAS NOT A SUITABLE INVESTMENT FOR THE CLIENT. HE CLAIMS THE IR, JOHN WILLSON, WAS AWARE OF THE OBJECTIVE TO MAINTAIN A CONSERVATIVE APPROACH TO THE INVESTMENTS. THE POA STATED HE BELIEVES THEIR SHOULD NOT HAVE SUGGESTED SUCH A RISKY INVESTMENT. LOSSES EXCEED \$5,000



**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$5,000.00

**Customer Complaint Information**

**Date Complaint Received:** 04/26/2002

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/15/2002

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

OUR RECORDS INDICATE THE ABOVE ACCOUNT WAS ESTABLISHED IN OCTOBER 1995 AND FROM ITS INCEPTION HAS BEEN COMPRISED OF VARIOUS INVESTMENTS FROM BONDS AND CDS TO BOND FUNDS AND STOCK MUTUAL FUNDS. ACCORDING TO OUR RECORDS, THE INVESTMENT IN QUESTIONS, PUTNAM HIGH YIELD TRUST II, WAS ORIGINALLY PURCHASED ON 6/30/98. FROM THE DATE OF PURCHASED, WITHDRAWALS THROUGH NOVEMBER, 2001 HAVE BEEN TAKEN IN THE AMOUNT OF \$465 PER MONTH AND THE REMAINDER OF THE FUNDS WAS LIQUIDATED ON 12/28/01. AT THE TIME OF PURCHASE, IR STATED HE VISITED WITH BOTH CUSTOMERS REGARDING THE INVESTMENT. ACCORDING TO THE IR, HE INFORMED CLIENTS THE DIVIDENDS MAY NOT ALWAYS BE ABLE TO COVER THE 7% WITHDRAWAL AS A RESULT OF INTEREST RATE CHANGES AND HAD RECOMMENDED TAKING A LOWER PERCENTAGE AMOUNT. FURTHER HE STATED HE INFORMED CLIENTS OF THE RISK THAT SOME OF THE 7% WITHDRAWALS COULD BE COMPRISED OF PRINCIPAL, ESPECIALLY IF RATES DROPPED. IR STATES HE DISCUSSED SOME RISK WOULD BE TAKEN IN STOCK MUTUAL FUNDS TO PROVIDE POTENTIAL GROWTH TO OFFSET INFLATION. CLIENTS WOULD HAVE BEEN IN RECEIPT OF TRADE CONFIRMS AS WELL AS FUND PROSPECTUSES. CUSTOMER STATEMENTS WOULD HAVE BEEN PROVIDED STATING THE ASSET CATEGORY OF THE FUNDS AND THE ESTIMATED VALUE OF THE INVESTMENTS. APPEARS THE PURCHASES WAS THE RESULT OF DISCUSSIONS BETWEEN IR AND CLIENTS. FURTHER, IT APPEARS THE INVESTMENT WAS IN LINE WITH THE STATED INVESTMENT OBJECTIVES OF THE ACCOUNT. CLAIM DENIED.



## End of Report

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