



## IAPD Report

# MARK AUGUSTINE KOLLAR

CRD# 2183640

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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 AUGUSTINE KOLLAR (CRD# 2183640)

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 **02/04/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KOLLAR WEALTH ADVISORS, LLC	CRD# 152243	01/04/2010

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	KOLLAR WEALTH ADVISORS, LLC	152243	NORTHBROOK, IL	01/04/2010 - 12/31/2014
B	GRADIENT SECURITIES, LLC	127701	NORTHBROOK, IL	11/07/2009 - 12/31/2012
B	ALLEGiant SECURITIES L.L.C.	133912	ROSEMONT, IL	01/08/2008 - 11/03/2009

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
Regulatory Event	1
Customer Dispute	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **KOLLAR WEALTH ADVISORS, LLC**  
Main Address: ONE NORTHBROOK PLACE  
5 REVERE DRIVE, SUITE 200  
NORTHBROOK, IL 60062  
Firm ID#: 152243

Regulator	Registration	Status	Date
<b>IA</b> Illinois	Investment Adviser Representative	Approved	01/04/2010
<b>IA</b> Ohio	Investment Adviser Representative	Approved	02/05/2016

#### Branch Office Locations

**KOLLAR WEALTH ADVISORS, LLC**  
ONE NORTHBROOK PLACE  
5 REVERE DRIVE, SUITE 200  
NORTHBROOK, IL 60062




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



#### Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	08/06/2001

#### General Industry/Product Exams

Exam	Category	Date
 Non-Member General Securities Examination (S2)	Series 2	07/21/1995
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/24/1992

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/07/1995
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/02/1992

### 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
IA	01/04/2010 - 12/31/2014	KOLLAR WEALTH ADVISORS, LLC	CRD# 152243	NORTHBROOK, IL
B	11/07/2009 - 12/31/2012	GRADIENT SECURITIES, LLC	CRD# 127701	NORTHBROOK, IL
B	01/08/2008 - 11/03/2009	ALLEGIANT SECURITIES L.L.C.	CRD# 133912	ROSEMONT, IL
IA	01/04/2008 - 11/03/2009	ALLEGIANT ASSET MANAGEMENT L.L.C.	CRD# 141047	MIAMI BEACH, FL
IA	02/02/2006 - 01/02/2008	JONATHAN ROBERTS ADVISORY GROUP, INC.	CRD# 112294	ROSEMONT, IL
B	11/28/2005 - 12/21/2007	J.W. COLE FINANCIAL, INC.	CRD# 124583	ROSEMONT, IL
B	02/17/2004 - 11/28/2005	CFD INVESTMENTS, INC.	CRD# 25427	KOKOMO, IN
IA	02/17/2004 - 11/28/2005	CREATIVE FINANCIAL DESIGNS, INC.	CRD# 109032	NORTHBROOK, IL
B	05/04/2001 - 02/17/2004	HIGH MARK SECURITIES, INC.	CRD# 42467	LAKELAND, FL
B	09/05/2000 - 07/25/2001	SIGMA FINANCIAL CORPORATION	CRD# 14303	ANN ARBOR, MI
B	08/01/1995 - 08/31/2000	CFD INVESTMENTS, INC.	CRD# 25427	KOKOMO, IN
B	02/24/1994 - 10/18/1995	JOSEPH ROBERTS & CO., INC.	CRD# 15971	POMPANO BEACH, FL
B	06/03/1992 - 12/08/1992	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	01/27/1992 - 04/03/1992	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	01/27/1992 - 04/03/1992	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY



## Registration & Employment History

### 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
11/2009 - Present	KOLLAR WEALTH ADVISORS, LLC	MEMBER/CCO	Y	ROSEMONE, IL, United States
03/2005 - Present	ESTATE PLAN ACCOUNTING	TRUST ADVISOR	N	ROSEMONT, IL, United States
02/1998 - Present	THE ESTATE PLAN	INDEPENDENT CONTRACTOR	N	RENO, NV, United States
11/1995 - Present	KOLLAR INSURANCE SERVICES	OWNER	Y	ROSEMONT, IL, United States
05/2024 - 02/2026	AT COST METALS, LLC	INDEPENDENT AFFILIATE	Y	DALLAS, 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.

- 1)THE ESTATE PLAN; 1140 FINANCIAL BLVD. #10, RENO, NV 89502; 02/1998; INDEPENDENT CONTRACTOR/CERTIFIED ESTATE PLANNING PROFESSIONAL;1-3 HOURS/MO.
- 2) ESTATE PLAN ACCOUNTING;NORTHBROOK, IL 60062;03/2005; OWNER,COLLECT FEES FOR FUNDING TRUSTS; 12 HOURS/MO.
- 3) MYOSITIS ASSOCIATION CUP GOLF CHALLENGE TRUST; CHAIRMAN/FOUNDER/TRUSTEE; NORTHBROOK, IL;7/2008; RAISE MONEY FOR THE MYOSITIS ASSOCIATION WHICH IS A 501(C)3;15-20 HOURS/YEAR.
- 4) LOYOLA ACADEMY SAILING; BOARD MEMBER; WILMETTE, IL; STARTED 2005;1 HOUR/MO.
- 5) Kollar Insurance Services; Owner/Insurance Agent; Investment Related; Northbrook, IL; Insurance Sales; Since 11/1995



## 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

### 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:** NASD

**Sanction(s) Sought:**

**Date Initiated:** 09/08/2005

**Docket/Case Number:** [E072004033901](#)

**Employing firm when activity occurred which led to the regulatory action:** HIGH MARK SECURITIES, INC.

**Product Type:**

**Allegations:** NASD CONDUCT RULES 2110 AND 3030- RESPONDENT ACCEPTED \$54,449 IN COMPENSATION FROM AN INSURANCE COMPANY UNAFFILIATED WITH HIS MEMBER FIRM FOR THE SALE OF AN ANNUITY AND AN INSURANCE POLICY TO A SINGLE PUBLIC CUSTOMER. PRIOR TO ENGAGING IN THIS OUTSIDE BUSINESS ACTIVITY, HE DID NOT PROVIDE PROMPT WRITTEN NOTICE TO HIS EMPLOYING FIRM.

**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:** 09/08/2005

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

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS SUSPENDED WITH ANY NASD MEMBER IN ANY CAPACITY FOR THIRTY DAYS AND FINED \$5,000. HIS SUSPENSION SHALL BEGIN WITH THE OPENING OF BUSINESS ON OCTOBER 17, 2005 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON NOVEMBER 15, 2005. FINES PAID.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:** Suspension

**Other Sanction(s) Sought:** SUSPENDED FOR 30 DAYS AND FINED \$5,000

**Date Initiated:** 09/08/2005

**Docket/Case Number:**

**Employing firm when activity occurred which led to the regulatory action:** HIGH MARK SECURITIES, INC.

**Product Type:** Insurance

**Other Product Type(s):**

**Allegations:** THE ALLEGATION WAS THAT ON OR ABOUT DECEMBER 2003, HE ACCEPTED APPROXIMATELY \$54,449 IN COMPENSATION FROM AN INSURANCE COMPANY UNAFFILIATED WITH HIS MEMBER FIRM FOR THE SALE OF AN ANNUITY AND AN INSURANCE POLICY TO A SINGLE PUBLIC CUSTOMER. PRIOR TO ENGAGING IN THE OUTSIDE BUSINESS ACTIVITY, THE ALLEGATION WAS THAT HE DID NOT PROVIDE PROMPT WRITTEN NOTICE TO HIS MEMBER FIRM.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 09/08/2005

**Sanctions Ordered:** Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:** SUSPENDED 30 DAYS AT A FUTURE DATE TO BE SET BY THE NASD

**Sanction Details:** SUSPENSIOIN WILL BE AT A FUTURE DATE SET BY NASD.

**Broker Statement** THE REPRESENTATIVE DENIES THAT HE IS GUILTY OF SELLING AWAY. IT IS HIS CONTENTION THAT HIS MEMBER FIRM WAS NOTIFIED OF THE SALE, HOWEVER, DUE TO A DISPUTE BETWEEN THE REP AND HIS FORMER BROKER DEALER, THIS ALLEGATION AROSE. CONSIDERING THE TIME, MONEY, AND EFFORT TO SPEND TO FIGHT THE ACTION, I DECIDED TO SETTLE THE CASE.



## 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	J W COLE FINANCIAL INC
<b>Allegations:</b>	MISREPRESENTATIONS, OMISSIONS, UNSUITABLE INVESTMENT RECOMMENDATIONS, NEGLIGENCE, NEGLIGENT SUPERVISION AND FRAUD PERPETRATED BY THE RESPONDENTS
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$106,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	08-02181
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	08/28/2008

## Customer Complaint Information

<b>Date Complaint Received:</b>	09/02/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	07/25/2009
<b>Settlement Amount:</b>	\$30,000.00
<b>Individual Contribution Amount:</b>	\$15,000.00

## Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	08-02181
<b>Date Notice/Process Served:</b>	09/02/2008
<b>Arbitration Pending?</b>	No



**Disposition:** Settled  
**Disposition Date:** 07/25/2009  
**Monetary Compensation Amount:** \$30,000.00  
**Individual Contribution Amount:** \$15,000.00  
**Firm Statement** SETTLEMENT MADE PRIOR TO ARBITRATION TO AVOID COSTS TO LITIGATE.

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** JW COLE FINANCIAL, INC.

**Allegations:** FORMER CLIENT, [CUSTOMER], ALLEGES THAT MR. KOLLAR MISREPRESENTED, OMITTED, AND PROVIDED UNSUITABLE INVESTMENT RECOMMENDATIONS, HAD NEGLIGENT SUPERVISION, AND DEFRAUDED HER. [CUSTOMER] ATTENDED A LUNCHEON HELD BY MR. KOLLAR IN SEPTEMBER 2007 AND SOON AFTER BECAME HIS CLIENT. [CUSTOMER] WAS IN A VANGUARD INDEX FUND AND MR. KOLLAR RECOMMENDED SHE BE PUT IN A JNL VARIABLE ANNUITY. [CUSTOMER] IS CLAIMING MR. KOLLAR'S ADVICE WAS MISREPRESENTED AND THE PRODUCT WAS UNSUITABLE. MR. KOLLAR DISAGREES WITH [CUSTOMER] AS HE EXPLAINED THE VARIABLE ANNUITY TO HER IN DETAIL AT LENGTH AND SHE ALSO SIGNED DOCUMENTS SAYING SHE UNDERSTOOD THE EXPLANATION.

**Product Type:** Annuity-Variable  
**Alleged Damages:** \$106,000.00

### Customer Complaint Information

**Date Complaint Received:**  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 07/25/2009  
**Settlement Amount:** \$30,000.00  
**Individual Contribution Amount:** \$15,000.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA  
**Docket/Case #:** 08-02181  
**Date Notice/Process Served:** 09/02/2008  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 07/25/2009



**Monetary Compensation Amount:** \$30,000.00

**Individual Contribution Amount:** \$15,000.00

**Broker Statement**

THIS WAS A FRIVOLOUS CLAIM AND IS THE ONLY COMPLAINT IN OVER TWENTY (20) YEARS OF AFFILIATE BEING IN THE FINANCIAL INDUSTRY. [CUSTOMER] OWNED VANGUARD MUTUAL FUNDS WITH NO LOSS PROTECTION, NO INCOME OR DEATH GUARANTEES. WE REVIEWED THE CLIENT'S CURRENT FINANCIAL SITUATION AND OFFERED THREE (3) SOLUTIONS TO ADD PROTECTION FROM MARKET LOSS. 1) A JNL CONTRACT WITH INCOME GUARANTEES AND DEATH BENEFIT GUARANTEE; 2) A MANAGED ACCOUNT WITH PUT OPTIONS TO HEDGE AGAINST MARKET LOSS; 3) AN INDEX ANNUITY WITH AMERICAN EQUITY. [CUSTOMER] CHOSE JNL AND MOVED HER ACCOUNT TO US ONE (1) WEEK BEFORE THE ALL TIME MARKET HIGH IN OCTOBER OF 2007. WE WERE UNAWARE THAT AT THE TIME [CUSTOMER'S] SON WAS AN INSURANCE AGENT. MONTHS AFTER SIGNING THE CONTRACT, [CUSTOMER] MENTIONED TO ME HER SON WAS UPSET THAT SHE BOUGHT THE JNL CONTRACT AND WANTED HER TO BUY AN INDEX THROUGH HIM. SIX (6) MONTHS AFTER [CUSTOMER] BECAME OUR CLIENT, HER SON INDUCED HER TO ABSORB A \$21,000 PENALTY BY SURRENDERING THE JNL CONTRACT, ELIMINATING ALL GUARANTEES. [CUSTOMER] THEN PURCHASED THE SAME AMERICAN EQUITY PRODUCT WE OFFERED TO HER IN 2007 WITH HER SON AS THE AGENT AND HE CLAIMED ON THE APPLICATION THAT THE CONTRACT WAS NOT A SURRENDER/EXCHANGE DESPITE THE FACT THAT THE DOLLAR AMOUNTS WERE EXACTLY THE SAME. I DID ALL OF THE DUE DILIGENCE AND RESEARCH FOR [CUSTOMER] THAT I PROVIDE TO ALL OF MY CLIENTS. I WAS NEVER ALLOWED TO REPRESENT MY CASE BEFORE THE ARBITRATION PANEL BECAUSE THE INSURANCE COMPANY AND JW COLE SETTLED THE CASE WITHOUT MY PERMISSION.



## End of Report

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