



IAPD Report

MARK ALLEN GASH

CRD# 2275493

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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 ALLEN GASH (CRD# 2275493)

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 **02/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THE O.N. EQUITY SALES COMPANY	CRD# 2936	05/03/2021
IA	ON INVESTMENT MANAGEMENT CO	CRD# 105662	05/05/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	PRIVATE CLIENT SERVICES, LLC	120222	Overland Park, KS	04/25/2018 - 05/04/2021
IA	PRIME CAPITAL INVESTMENT ADVISORS, LLC	288712	OVERLAND PARK, KS	08/01/2017 - 05/03/2021
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	OVERLAND PARK, KS	03/03/2014 - 04/30/2018

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	2



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

Employment 1 of 2

Firm Name: **ON INVESTMENT MANAGEMENT CO**
Main Address: ONE FINANCIAL WAY
CINCINNATI, OH 45242
Firm ID#: 105662

Regulator	Registration	Status	Date
IA Iowa	Investment Adviser Representative	Approved	08/23/2021
IA Kansas	Investment Adviser Representative	Approved	05/05/2021
IA Minnesota	Investment Adviser Representative	Approved	02/01/2022
IA Missouri	Investment Adviser Representative	Approved	05/05/2021
IA Texas	Investment Adviser Representative	Approved	05/05/2021

Branch Office Locations

ON INVESTMENT MANAGEMENT CO
8500 W. 110th Street
Suite 510
Overland Park, KS 66210

Employment 2 of 2

Firm Name: **THE O.N. EQUITY SALES COMPANY**
Main Address: ONE FINANCIAL WAY
CINCINNATI, OH 45242
Firm ID#: 2936

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	05/03/2021
B Alabama	Agent	Approved	05/03/2021



Qualifications

Regulator	Registration	Status	Date
B Arkansas	Agent	Approved	05/03/2021
B Colorado	Agent	Approved	05/03/2021
B Florida	Agent	Approved	05/03/2021
B Iowa	Agent	Approved	07/02/2021
B Kansas	Agent	Approved	05/03/2021
B Minnesota	Agent	Approved	05/03/2021
B Missouri	Agent	Approved	05/03/2021
B New York	Agent	Approved	07/02/2021
B Texas	Agent	Approved	05/03/2021

Branch Office Locations

8500 West 110th Street
Suite 510
Overland Park, KS 66210



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
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/02/1992

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	12/16/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/06/1992

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
B	04/25/2018 - 05/04/2021	PRIVATE CLIENT SERVICES, LLC	CRD# 120222	Overland Park, KS
IA	08/01/2017 - 05/03/2021	PRIME CAPITAL INVESTMENT ADVISORS, LLC	CRD# 288712	OVERLAND PARK, KS
B	03/03/2014 - 04/30/2018	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	OVERLAND PARK, KS
IA	03/07/2014 - 10/13/2017	LAWING FINANCIAL INC	CRD# 117178	OVERLAND PARK, KS
IA	03/24/2003 - 03/06/2014	EAGLE STRATEGIES LLC	CRD# 110826	OLATHE, KS
B	01/23/2003 - 03/06/2014	NYLIFE SECURITIES LLC	CRD# 5167	OLATHE, KS
B	10/05/1992 - 01/13/2003	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	MINNEAPOLIS, MN

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
05/2021 - Present	Ohio National Insurance Agency	Career Agent	N	Cincinnati, OH, United States
05/2021 - Present	The O.N. Equity Sales Company	Registered Rep	Y	Cincinnati, OH, United States
07/2017 - Present	Prime Capital Investment Advisors, LLC	Investment Advisor Representative	Y	Overland Park, KS, United States
04/2018 - 05/2021	PRIVATE CLIENT SERVICES	REGISTERED REP	Y	LOUISVILLE, KY, United States
03/2014 - 04/2018	CAMBRIDGE INVESTMENT RESEARCH, INC	REGISTERED REPRESENTATIVE	Y	FAIRFIELD, IA, United States
03/2014 - 10/2017	LAWING FINANCIAL INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	OVERLAND PARK, 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.

- 1) Persons with Disabilities Advisory board to the city of Olathe Kansas; 100 E. Santa Fe St. Olathe KS 66051; not investment related; volunteer city board that serves as a resource and liason for the disabled community in Olathe KS; chairperson;01/01/2000; 8 hous/month (0 during market hours); Running meeting advising city council helping to organize community events.
- 2) EVERGREEN LIVING INNOVATIONS. 11875 SOUTH SUNSET DRIVE, SUITE 100, OLATHE, KS 66061. BOARD MEMBERSHIP-VOLUNTEER POSITION. 2-3 HOURS/MO; 0 DURING TRADING HOURS.
- 3) NON INVESTMENT RELATED INSURANCE SALES THROUGH VARIOUS CARRIERS.



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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	Customer alleges that the RR did not explain the surrender process and subsequent penalties and sold a product that did not meet her financial needs. Customer wants the surrender fees waived. Dates: 5/1/2012-11/12/2015.
Product Type:	Annuity-Variable
Alleged Damages:	\$6,408.78
Alleged Damages Amount Explanation (if amount not exact):	The amount of the surrender fee at the time the Firm received the complaint.
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:	11/23/2015
Complaint Pending?	No
Status:	Denied
Status Date:	12/03/2015



Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES LLC

Allegations: Customer alleges that the RR did not explain the surrender process and subsequent penalties and sold a product that did not meet her financial needs. Customer wants the surrender fee waived. Dates: 5/1/2012-11/12/2015

Product Type: Annuity-Variable

Alleged Damages: \$6,408.78

Alleged Damages Amount Explanation (if amount not exact): The amount of surrender fee at the Firm received that complaint.

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: 11/23/2015

Complaint Pending? No

Status: Denied

Status Date: 12/03/2015

Settlement Amount:

Individual Contribution Amount:

Broker Statement The complaint alleged a failure to adequately disclose a certain product feature. However, contemporaneous client notes regarding the conversations in question and contemporaneous documentation of materials provided to the clients demonstrate that the claim was unfounded. It was, consequently, denied.

Disclosure 2 of 2

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES LLC

Allegations: Customers allege that surrender charges and periods were not properly conveyed when they purchased annuities in 2011 and 2012. Customers want to move their funds from the current annuities to other annuities without incurring surrender charges or penalties.

Product Type: Annuity-Variable



Alleged Damages: \$13,816.20

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: 09/14/2015

Complaint Pending? No

Status: Denied

Status Date: 10/02/2015

Settlement Amount:

**Individual Contribution
Amount:**

Firm Statement This complaint was denied by the Firm.

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** NY Life Securities LLC

Allegations: Clients allege surrender charges and periods were not properly conveyed with they purchased annuities in 2011 and 2012. Customers want to move their funds from the current annuities to other annuities without incurring surrender charges or penalties.

Product Type: Annuity-Variable

Alleged Damages: \$13,816.20

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: 10/15/2015

Complaint Pending? No

Status: Denied

Status Date: 10/02/2015

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement The complaint alleged a failure to adequately disclose a certain product feature. However, contemporaneous client notes regarding the conversations in question and contemporaneous documentation of materials provided to the clients demonstrate that the claim was unfounded. It was, consequently, denied.



End of Report

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