



IAPD Report

MARK JULIUS POTOCSNY

CRD# 2417184

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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 JULIUS POTOCSNY (CRD# 2417184)

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 **08/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LPL FINANCIAL LLC	CRD# 6413	04/07/2025
B	LPL FINANCIAL LLC	CRD# 6413	04/08/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	CESHIRE, CT	08/17/2021 - 04/08/2025
B	INTERNATIONAL ASSETS ADVISORY, LLC	10645	CESHIRE, CT	07/29/2021 - 04/08/2025
B	MORGAN STANLEY	149777	MADISON, CT	05/09/2014 - 05/14/2021

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
Criminal	1
Customer Dispute	2
Termination	1
Financial	1



Report Summary



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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/08/2025
B	Arizona	Agent	Approved	04/08/2025
IA	Connecticut	Investment Adviser Representative	Approved	04/07/2025
B	Connecticut	Agent	Approved	04/08/2025
B	Florida	Agent	Approved	04/08/2025
B	Georgia	Agent	Approved	04/09/2025
B	Massachusetts	Agent	Approved	10/10/2025
B	New Hampshire	Agent	Approved	04/08/2025
B	New York	Agent	Approved	04/08/2025
B	North Carolina	Agent	Approved	04/25/2025
B	Virginia	Agent	Approved	06/28/2025

Branch Office Locations

LPL FINANCIAL LLC
CHESHIRE, CT



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, 3 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
National Commodity Futures Examination (S3)	Series 3	08/06/2011
General Securities Representative Examination (S7)	Series 7	04/12/1996

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	06/30/1997
Uniform Securities Agent State Law Examination (S63)	Series 63	04/19/1996

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	08/17/2021 - 04/08/2025	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	CESHIRE, CT
B	07/29/2021 - 04/08/2025	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	CESHIRE, CT
B	05/09/2014 - 05/14/2021	MORGAN STANLEY	CRD# 149777	MADISON, CT
IA	05/09/2014 - 05/14/2021	MORGAN STANLEY	CRD# 149777	MADISON, CT
B	01/01/2008 - 05/13/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	NEW HAVEN, CT
IA	01/01/2008 - 05/13/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	NEW HAVEN, CT
B	04/15/1996 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	HAMDEN, CT
IA	02/02/1998 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	HAMDEN, CT

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
04/2025 - Present	LPL Financial	Registered Representative	Y	Cheshire, CT, United States
07/2021 - 04/2025	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REPRESENTATIVE	Y	CESHIRE, CT, United States
07/2021 - 04/2025	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	CESHIRE, CT, United States
01/2015 - 05/2021	MORGAN STANLEY PRIVATE BANK, N.A.	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
05/2014 - 05/2021	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	MADISON, CT, 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) PFG Wealth Management Inc - DBA for LPL Business (entity for LPL business) - Investment Related - 1084 S. Main Street Cheshire CT, 06410 -Start Date : 01/01/2024 - 800 Hrs/Mth - 40 Hrs During Trading.- Time Spent 80



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
Criminal	1
Customer Dispute	2
Termination	1
Financial	1

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 1

Reporting Source:	Individual
Court Details:	SUPERIOR COURT OF THE STATE OF CONNECTICUT, #CR06-0053408-S
Charge Date:	03/28/2006
Charge Details:	CHARGE: RISK OF INJURY TO CHILD - 1) ONE COUNT, 2)FELONY; 3) NOT GUILTY; 4) NOT INVESTMENT RELATED.
Felony?	Yes
Current Status:	Final
Status Date:	06/07/2006
Disposition Details:	A)DISMISSED; B)06/07/2006; C) NONE; D)N/A; E)N/A; F)NONE; G)N/A.
Broker Statement	I GOT INTO A VERBAL CONFRONTATION WITH EX-WIFE AND WHEN SLAMMING FIST ON ROOF OF CAR, HIT SUNROOF BY ACCIDENT SPRAYING GLASS OVER OCCUPANTS, INCLUDING SON. I DID NOT REPORT THIS MATTER WITHIN 30 DAYS OF THE ARREST BECAUSE I DID NOT REALIZE THAT THE CHARGE WAS A FELONY AND EXPECTED THE ENTIRE CASE AND CHARGES TO BE QUICKLY DISMISSED SINCE EX-WIFE EXPLAINED TO AUTHORITIES THAT IT WAS AN ACCIDENT AND SHE WOULD NOT PRESS CHARGES. I EXPECTED RESOLUTION WITHIN THE NEXT DAY OR SO.



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:	Individual
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	Client alleges Inter alia, that there were trades done in the [REDACTED] account without authorization. 2019-2020
Product Type:	Debt-Corporate Debt-Municipal Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
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:	11/04/2020
Complaint Pending?	No
Status:	Denied
Status Date:	01/11/2021
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC.
Allegations:	CLIENT ALLEGED UNAUTHORIZED TRADING. NO LOSSES WERE ALLEGED, AFTER REVIEWING THE ACCOUNTS IT HAS BEEN DETERMINED THAT THE LOSSES WERE IN EXCESS OF \$5,000.
Product Type:	Mutual Fund(s)
Other Product Type(s):	BONDS, STOCKS



Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 05/08/2000

Complaint Pending? No

Status: Settled

Status Date: 07/31/2000

Settlement Amount: \$9,900.00

Individual Contribution Amount: \$9,900.00



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: MSWM

Termination Type: Discharged

Termination Date: 04/14/2021

Allegations: Allegations that the representative executed some trades without speaking to the clients contemporaneously with the trades, even if they had discussed them sometime beforehand, and produced a summary chart of cell phone calls purporting to align with trading activity.

Product Type: Debt-Corporate
Debt-Government
Debt-Municipal
Equity Listed (Common & Preferred Stock)
Money Market Fund

Reporting Source: Individual

Firm Name: MORGAN STANLEY

Termination Type: Discharged

Termination Date: 04/14/2021

Allegations: CONCERNS THAT THE REPRESENTATIVE EXECUTED SOME TRADES WITHOUT SPEAKING TO THE CLIENTS CONTEMPORANEOUSLY WITH THE TRADES, EVEN IF THEY HAD DISCUSSED THEM SOMETIME BEFOREHAND, AND PRODUCED A SUMMARY CHART OF CELL PHONE CALLS PURPORTING TO ALIGN WITH TRADING ACTIVITY.

Product Type: Debt-Corporate
Debt-Government
Debt-Municipal
Equity Listed (Common & Preferred Stock)
Money Market Fund



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source: Individual

Action Type: Liquidation

Action Date: 02/08/2019

Organization Investment-Related?

Type of Court: State Court

Name of Court: CT Superior Court

Location of Court: New Haven CT

Docket/Case #: CV16-6064970

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 02/08/2019

Broker Statement

After a divorce and some unforeseen adverse effects, the real estate fell into foreclosure however the Real Estate was sold at a value greater than was owed and the case was closed



End of Report

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