



IAPD Report

MARK AARON ATCHITY

CRD# 2530342

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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

MARK AARON ATCHITY (CRD# 2530342)

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 **09/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	JCC CAPITAL MARKETS, LLC	CRD# 146776	08/16/2012
B	CABIN SECURITIES, INC.	CRD# 137608	09/16/2013
IA	CABIN ADVISORS, LLC	CRD# 312547	07/02/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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	ARETE WEALTH MANAGEMENT, LLC	44856	CARLSBAD, CA	10/07/2013 - 02/08/2016
B	TNP SECURITIES, LLC	149178	IRVINE, CA	09/08/2009 - 07/31/2012
B	ARI FINANCIAL SERVICES, INC.	137608	IRVINE, CA	02/23/2010 - 04/19/2010

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	4



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

Employment 1 of 3

Firm Name: **CABIN ADVISORS, LLC**
Main Address: 6240 W. 135TH STREET
SUITE 214
OVERLAND PARK, KS 66223
Firm ID#: 312547

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	07/06/2022
IA	Florida	Investment Adviser Representative	Approved	06/12/2026
IA	Indiana	Investment Adviser Representative	Approved	05/03/2023
IA	Iowa	Investment Adviser Representative	Approved	04/04/2025
IA	Kansas	Investment Adviser Representative	Approved	07/02/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	05/29/2025

Branch Office Locations

CABIN ADVISORS, LLC
6240 W. 135TH STREET
SUITE 214
OVERLAND PARK, KS 66223

Employment 2 of 3

Firm Name: **CABIN SECURITIES, INC.**
Main Address: 6240 W 135TH STREET
SUITE 214
OVERLAND PARK, KS 66223
Firm ID#: 137608



Qualifications

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	09/16/2013
B	FINRA	General Securities Principal	Approved	09/16/2013
B	FINRA	General Securities Representative	Approved	09/16/2013
B	FINRA	Investment Banking Representative	Approved	09/16/2013
B	FINRA	Operations Professional	Approved	09/16/2013
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	Alabama	Agent	Approved	08/27/2018
B	Alaska	Agent	Approved	02/08/2024
B	Arizona	Agent	Approved	10/01/2020
B	California	Agent	Approved	09/16/2013
B	Colorado	Agent	Approved	12/20/2019
B	Florida	Agent	Approved	07/30/2014
B	Georgia	Agent	Approved	07/29/2014
B	Idaho	Agent	Approved	09/28/2020
B	Illinois	Agent	Approved	06/18/2014
B	Maryland	Agent	Approved	01/20/2021
B	Montana	Agent	Approved	02/08/2024
B	Nevada	Agent	Approved	02/09/2024



Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	09/15/2020
B	New York	Agent	Approved	09/29/2020
B	North Carolina	Agent	Approved	09/24/2021
B	North Dakota	Agent	Approved	02/08/2024
B	Oregon	Agent	Approved	11/25/2020
B	South Dakota	Agent	Approved	12/12/2017
B	Tennessee	Agent	Approved	05/08/2020
B	Virginia	Agent	Approved	10/30/2019
B	Washington	Agent	Approved	09/23/2020
B	Wyoming	Agent	Approved	02/08/2024

Branch Office Locations

ARI FINANCIAL SERVICES, INC.

30011 Ivy Glenn Drive
#220
Laguna Niguel, CA 92677

Employment 3 of 3

Firm Name: **JCC CAPITAL MARKETS, LLC**
Main Address: 30011 IVY GLENN DR
#220
LAGUNA NIGUEL, CA 92677
Firm ID#: 146776

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/16/2012
B	FINRA	Operations Professional	Approved	08/16/2012



Qualifications

	Regulator	Registration	Status	Date
B	FINRA	Investment Banking Representative	Approved	08/29/2012
B	FINRA	Financial and Operations Principal	Approved	01/15/2013
B	FINRA	General Securities Principal	Approved	01/15/2013
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	Arkansas	Agent	Approved	01/31/2018
B	California	Agent	Approved	08/29/2012
B	Colorado	Agent	Approved	04/14/2014
B	Connecticut	Agent	Approved	04/23/2014
B	Delaware	Agent	Approved	02/12/2018
B	District of Columbia	Agent	Approved	09/03/2015
B	Florida	Agent	Approved	04/22/2014
B	Georgia	Agent	Approved	04/02/2014
B	Hawaii	Agent	Approved	05/12/2014
B	Illinois	Agent	Approved	04/29/2014
B	Indiana	Agent	Approved	09/18/2014
B	Iowa	Agent	Approved	04/02/2014
B	Kansas	Agent	Approved	03/27/2014
B	Kentucky	Agent	Approved	01/29/2018



Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	09/08/2014
B	Maine	Agent	Approved	08/27/2015
B	Maryland	Agent	Approved	04/21/2014
B	Massachusetts	Agent	Approved	04/24/2014
B	Michigan	Agent	Approved	04/17/2014
B	Minnesota	Agent	Approved	04/10/2014
B	Mississippi	Agent	Approved	01/24/2018
B	Missouri	Agent	Approved	04/22/2014
B	Nebraska	Agent	Approved	04/22/2014
B	New Hampshire	Agent	Approved	08/25/2014
B	New Jersey	Agent	Approved	05/02/2014
B	New Mexico	Agent	Approved	09/02/2015
B	New York	Agent	Approved	04/07/2014
B	Ohio	Agent	Approved	04/22/2014
B	Oklahoma	Agent	Approved	01/30/2018
B	Pennsylvania	Agent	Approved	04/03/2014
B	Rhode Island	Agent	Approved	01/24/2018
B	South Carolina	Agent	Approved	04/14/2014
B	Tennessee	Agent	Approved	04/17/2014



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	08/16/2012
B Utah	Agent	Approved	06/24/2014
B Vermont	Agent	Approved	02/06/2018
B Washington	Agent	Approved	06/24/2014
B West Virginia	Agent	Approved	09/18/2014
B Wisconsin	Agent	Approved	01/30/2018

Branch Office Locations

141 S. LAKE STREET
SUITE 102
PASADENA, CA 91101



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 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	Compliance Officer Examination (S14)	Series 14	01/02/2023
	General Securities Principal Examination (S24)	Series 24	03/27/2007
	Financial and Operations Principal Examination (S27)	Series 27	09/10/2003

General Industry/Product Exams

	Exam	Category	Date
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Investment Banking Registered Representative Examination (S79)	Series 79	08/28/2012
	Limited Representative-Equity Trader Exam (S55)	Series 55	04/04/2007
	General Securities Representative Examination (S7)	Series 7	01/18/1995

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/02/2022
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/10/1995



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	10/07/2013 - 02/08/2016	ARETE WEALTH MANAGEMENT, LLC	CRD# 44856	CARLSBAD, CA
B	09/08/2009 - 07/31/2012	TNP SECURITIES, LLC	CRD# 149178	IRVINE, CA
B	02/23/2010 - 04/19/2010	ARI FINANCIAL SERVICES, INC.	CRD# 137608	IRVINE, CA
B	01/09/2009 - 08/25/2009	ARI FINANCIAL SERVICES, INC.	CRD# 137608	OVERLAND PARK, KS
B	10/20/1995 - 07/12/2007	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	SAN JUAN CAPISTRANO, CA
B	10/01/2003 - 11/23/2005	FIRST SECURITIES USA, INC.	CRD# 39986	IRVINE, CA
B	07/09/1995 - 08/03/1995	CRUTTENDEN ROTH INCORPORATED	CRD# 15407	NEWPORT BEACH, CA
B	03/07/1995 - 07/20/1995	TEXAS CAPITAL SECURITIES, INC.	CRD# 25564	HOUSTON, TX

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
04/2026 - Present	Kingsmont Capital, Inc.	CFO	Y	Frisco, TX, United States
01/2021 - Present	Cabin Advisors, LLC	Managing Partner / Chief Compliance Officer	Y	Overland Park, KS, United States
06/2018 - Present	Valley Pointe LLC	Member	Y	Leawood, KS, United States
09/2013 - Present	Cabin Securities	CHIEF COMPLIANCE OFFICER	Y	Overland Park, KS, United States
01/2013 - Present	JCC Capital Markets, LLC	PRESIDENT & CEO	Y	Laguna Niguel, CA, 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.

JCC Capital Markets, LLC. 30011 Ivy Glen Dr. #220 Laguna Niguel CA. CEO, Since August 2012, Investment Banking, Mergers and Acquisitions, Private Placements

Cabin Securities Inc. Overland Park, KS. Since September 2013, Investment related, Chief Compliance Officer, Private placements of securities.

Valley Pointe, LLC Member since September 2020. Investment Related. All securities and investment activity supervised through Cabin Securities, Inc.

Cabin Advisors LLC, Since 1/2020 Managing Partner Overland Park KS Investment Related, Registered Investment Advisor

Kingsmont Capital, Inc, Since April 2025, Insurance Marketing Organization, Licensed Insurance Broker, Minority Member and CFO. Any securities activity of Kingsmont supervised by Cabin Securities.



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	4

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 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CABIN SECURITIES, INC.

Allegations: The representative was subject of customer complaint regarding sales of reg D private placements made from 2016-2019. The complaint against the firm asserted the following causes of action, fraud, misrepresentation, omissions of material facts, unsuitable recommendations, breach of contract, and breach of fiduciary duty.

Product Type: Real Estate Security

Alleged Damages: \$1,175,546.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 26-01910

Date Notice/Process Served: 08/25/2026

Arbitration Pending? Yes

Broker Statement The investor alleged that the firm failed to conduct due diligence and did not adequately warn them of the risks of the investments. The firm conducted robust due diligence and warned them of the risks. The investor worked with a trusted personal licensed tax professional on the features of the investment. The representative did not play a role in the management of the investment. The investor still owns the interests, and has yet to realize any losses from the outcome



of the investment.

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CABIN SECURITIES, INC.

Allegations: The representative was named in complaint regarding a reg D private placement. The complaint against the member firm asserted the following causes of action, fraud, misrepresentation, omissions of material facts, unsuitable recommendations, breach of contract, and breach of fiduciary duty.

Product Type: Real Estate Security

Alleged Damages: \$1,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA dispute resolution

Docket/Case #: 26-01484

Date Notice/Process Served: 07/24/2026

Arbitration Pending? Yes

Broker Statement The investor alleged that the firm failed to conduct due diligence. The firm conducted robust due diligence. The investor is a sophisticated, experienced real estate investor and attorney. The representative did not play a role in the management of the investment. The investment was negatively affected by issues arising from the investment sponsor and the manager.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CABIN SECURITIES, INC.

Allegations: Atchity was the named respondent of customer complaint regarding a reg D private placement. The complaint against his member asserted the following causes of action, fraud, misrepresentation, omissions of material facts, unsuitable recommendations, breach of contract, breach of fiduciary duty and failure to supervise.

Product Type: Real Estate Security

Alleged Damages: \$3,500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 26-00718

Date Notice/Process Served: 04/07/2026

Arbitration Pending? Yes

**Broker Statement**

The investor alleged that the firm failed to conduct due diligence. The firm conducted robust due diligence. The investor worked with a trusted advisor and family member on the investment, and that person is a sophisticated real estate investor whom the sales representative discussed the risks associated with the investment. The representative did not play a role in the management of the investment. The investment was negatively affected by issues arising from the investment sponsor and the manager. The investor still owns the interests in the trust, which owns the property, and has not realized any loss of principal.

Disclosure 4 of 4**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

BROOKSTREET SECURITIES CORPORATION

Allegations:

CUSTOMER PURCHASED CMO'S PRIOR TO BEING A CUSTOMER OF BROOKSTREET AS PART OF AN INVESTMENT STRATEGY AND IS SEEKING RELIEF AND PUNITIVE DAMAGES FOR LOSSES INCURRED. CLAIMANT NAMED MARK ATCHITY IN THE CASE AS CHIEF COMPLIANCE OFFICER AND A CONTROL PERSON OF BROOKSTREET SECURITIES. I WAS NEITHER.

Product Type:

Other: CMO

Alleged Damages:

\$650,000.00

Alleged Damages Amount Explanation (if amount not exact):

TO THE BEST OF MY KNOWLEDGE.

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 - FLORIDA

Docket/Case #:

FINRA CASE #07-03590

Filing date of arbitration/CFTC reparation or civil litigation:

09/15/2007

Customer Complaint Information**Date Complaint Received:**

09/15/2007

Complaint Pending?

No

Status:

Withdrawn

Status Date:

12/27/2008

Settlement Amount:**Individual Contribution Amount:****Arbitration Information****Disposition:**

Withdrawn



Disposition Date: 10/30/2009



End of Report

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