



IAPD Report

MARK BRIGGS DUDYCHA

CRD# 2599756

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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 BRIGGS DUDYCHA (CRD# 2599756)

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 **06/04/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	08/17/2011
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	08/17/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **35** 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	SECURITIES AMERICA ADVISORS, INC.	110518	BLUE BELL, PA	03/14/2003 - 08/18/2011
B	SECURITIES AMERICA, INC.	10205	BLUE BELL, PA	02/02/1999 - 08/18/2011
B	K. AUFHAUSER & COMPANY, INC.	10752	OMAHA, NE	01/18/1996 - 11/03/1997

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

Employment 1 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**

Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757

Firm ID#: 39543

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	08/17/2011
	FINRA	General Securities Representative	Approved	08/17/2011
	FINRA	Operations Professional	Approved	12/09/2011
	Alabama	Agent	Approved	04/11/2022
	Arizona	Agent	Approved	08/17/2011
	California	Agent	Approved	11/27/2012
	Colorado	Agent	Approved	04/09/2013
	Connecticut	Agent	Approved	08/17/2011
	Delaware	Agent	Approved	08/17/2011
	Florida	Agent	Approved	08/17/2011
	Georgia	Agent	Approved	06/12/2015
	Illinois	Agent	Approved	08/17/2011
	Indiana	Agent	Approved	08/17/2011



Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	08/18/2011
B	Kentucky	Agent	Approved	06/22/2020
B	Louisiana	Agent	Approved	03/21/2022
B	Maryland	Agent	Approved	08/17/2011
B	Massachusetts	Agent	Approved	10/05/2016
B	Michigan	Agent	Approved	03/10/2014
B	Mississippi	Agent	Approved	08/25/2011
B	Missouri	Agent	Approved	01/04/2016
B	Montana	Agent	Approved	09/30/2021
B	Nebraska	Agent	Approved	08/17/2011
B	Nevada	Agent	Approved	09/01/2011
B	New Jersey	Agent	Approved	08/17/2011
B	New York	Agent	Approved	08/19/2011
B	North Carolina	Agent	Approved	08/30/2011
B	Ohio	Agent	Approved	08/17/2011
B	Pennsylvania	Agent	Approved	08/17/2011
B	Puerto Rico	Agent	Approved	01/02/2019
B	Rhode Island	Agent	Approved	03/11/2014
B	South Carolina	Agent	Approved	02/24/2014



Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	01/03/2013
B	Texas	Agent	Approved	08/17/2011
B	Vermont	Agent	Approved	09/20/2011
B	Virginia	Agent	Approved	08/17/2011
B	Washington	Agent	Approved	11/23/2020
B	Wisconsin	Agent	Approved	08/18/2011

Branch Office Locations

CAMBRIDGE INVESTMENT RESERARCH, INC.
1100 JORIE RD
STE 359
OAK BROOK, IL 60523

CAMBRIDGE INVESTMENT RESERARCH, INC.
725 Skippack Pike, Suite 330
Blue Bell, PA 19422

CAMBRIDGE INVESTMENT RESERARCH, INC.
3 NESHAMINY INTERPLEX
STE 301
TREVOSSE, PA 19053

CAMBRIDGE INVESTMENT RESERARCH, INC.
10,000 LINCOLN DR E, ONE GREENTREE CENTER
STE 201
MARLTON, NJ 08053

CAMBRIDGE INVESTMENT RESERARCH, INC.
101 LINDENWOOD AVE
STE 225
MALVERN, PA 19355

CAMBRIDGE INVESTMENT RESERARCH, INC.
1804 Williamson Court
Ste 108
Brentwood, TN 37027

CAMBRIDGE INVESTMENT RESERARCH, INC.
1515 Market Street
Suite 1200
Philadelphia, PA 19102

Employment 2 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**
Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757
Firm ID#: 134139

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	11/13/2019



Qualifications

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	08/17/2011
IA	Tennessee	Investment Adviser Representative	Approved	07/31/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	08/30/2011

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.

725 Skippack Pike, Suite 330
Blue Bell, PA 19422



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, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	08/31/1999

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
	General Securities Representative Examination (S7)	Series 7	05/01/1995

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	02/19/2003
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/16/1995
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/08/1995

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
IA	03/14/2003 - 08/18/2011	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	BLUE BELL, PA
B	02/02/1999 - 08/18/2011	SECURITIES AMERICA, INC.	CRD# 10205	BLUE BELL, PA
B	01/18/1996 - 11/03/1997	K. AUFHAUSER & COMPANY, INC.	CRD# 10752	OMAHA, NE
B	05/02/1995 - 02/08/1996	PIPER JAFFRAY INC.	CRD# 665	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
08/2011 - Present	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	FAIRFIELD, IA, United States
08/2011 - Present	CAMBRIDGE INVESTMENT RESEARCH, INC	REGISTERED REPRESENTATIVE	Y	FAIRFIELD, IA, United States
09/2002 - Present	DUDYCHA RETIREMENT GROUP	SR. FINANCIAL CONSULTANT / INSURANCE AGENT	Y	PLYMOUTH MEETING, PA, 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) ALBERTINO FINANCIAL / DUDYCHA RETIREMENT GROUP / DC FINANCIAL SERVICES - INDEPENDENT INSURANCE AGENT FOR VARIOUS INDEPENDENT INSURANCE COMPANIES.
- 2) HANSON MCCLAIN RETIREMENT NETWORK 3620 FAIR OAKS BLVD., STE 300 SACRAMENTO, CA 95864. BEGAN 09/1/2000 AS A FINANCIAL ADVISOR WORKING WITH HANSON MCCALIN TO MARKET TO COMPANIES THAT THEY HAVE DEVELOPED EDUCATIONAL WORKSHOPS WITH SUCH AS AT&T, VERIZAON, AND NICOR GAS. WILL BE ASSISTING EMPLOYEES IF THESE COMPANIES WITH INVESTMENT SERVICES. INVESTMENT RELATED. DEVOTES 40 HRS/WK. 40 HOURS DURING TRADING.
- 3) DUDYCHA RETIREMENT GROUP, 661 W GERMANTOWN PIKE, STE 2, PLYMOUTH MEETING, PA, 1/2006 AS PRESIDENT OF TAX PREP C-CORP. DEVOTES 50 HR/YR-NONE DURING TRADING.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

4) ACCURATE INCOME TAX SERVICE, 2606- C EUGENIA AVE, NASHVILLE, TN, 1/2016 AS OWNER OF C-CORP. C-CORP PROVIDES TAX PREP, GENERAL BOOKKEEPING, PAYROLL AND SALES TAX PREP. NIR - 20 HR/WK - 4/TRADING.

5) CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, AS ADVISORY REP OF A RIA, INV REL, 160 HR/MO - 120 HR/MO TRADING. 08/17/2011



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	1

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC
Allegations:	CLAIMANT ALLEGES THAT THEY WANTED TO BE INVESTED IN A CONSERVATIVE INVESTMENT AND HAVE LOST IN EXCESS OF \$60,000.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$60,000.00

Customer Complaint Information

Date Complaint Received:	07/26/2008
Complaint Pending?	No
Status:	Denied
Status Date:	07/31/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement	IN RESPONSE TO THE ALLEGATIONS OF INVESTMENT LOSS BY MY CLIENT I AM CONFIDENT THAT WE INVESTED HIS ACCOUNT IN A CONSERVATIVE MATTER AND THAT HE, IN FACT, DID NOT HAVE INVESTMENT LOSSES. HIS DISTRIBUTIONS EXCEEDED THE OVERALL RETURN OF HIS ACCOUNT.
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End of Report

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