User Guidance

www.adviserinfo.sec.gov

IAPD Report

DAVID KRISTOPHER GRIFFITH

CRD# 3072664

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

DAVID KRISTOPHER GRIFFITH (CRD# 3072664)

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 **07/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LIFEMARK SECURITIES CORP.	CRD# 16204	05/12/2015
IA	LIFEMARK SECURITIES CORP.	CRD# 16204	10/02/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	LEIGH BALDWIN & CO., LLC	38751	UTICA, NY	09/19/2012 - 05/12/2015
B	IBN FINANCIAL SERVICES, INC.	42360	UTICA, NY	04/02/2007 - 10/05/2012
B	LEIGH BALDWIN & CO., LLC	38751	UTICA, NY	11/14/2006 - 04/02/2007

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

Employment 1 of 1

Firm Name: **LIFEMARK SECURITIES CORP.**

Main Address: 400 WEST METRO PARK
ROCHESTER, NY 14623

Firm ID#: 16204

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/12/2015
B	FINRA	General Securities Representative	Approved	05/12/2015
B	California	Agent	Approved	11/07/2022
B	Connecticut	Agent	Approved	05/12/2015
B	District of Columbia	Agent	Approved	04/23/2025
B	Florida	Agent	Approved	07/17/2015
B	Georgia	Agent	Approved	01/04/2021
B	Illinois	Agent	Approved	01/04/2021
B	Maine	Agent	Approved	01/04/2022
B	Maryland	Agent	Approved	05/12/2015
B	Massachusetts	Agent	Approved	07/10/2018
B	Michigan	Agent	Approved	01/04/2021
B	New Hampshire	Agent	Approved	01/04/2022

Qualifications

	Regulator	Registration	Status	Date
B	New Mexico	Agent	Approved	05/12/2015
B	New York	Agent	Approved	05/12/2015
IA	New York	Investment Adviser Representative	Approved	08/20/2021
B	North Carolina	Agent	Approved	03/23/2021
B	Ohio	Agent	Approved	01/05/2021
B	Pennsylvania	Agent	Approved	01/04/2022
B	South Carolina	Agent	Approved	05/01/2026
B	Tennessee	Agent	Approved	01/04/2022
B	Texas	Agent	Approved	01/04/2021
B	Virginia	Agent	Approved	01/21/2020

Branch Office Locations

LIFEMARK SECURITIES CORP.
2018 GENESEE STREET
UTICA, NY 13502

LIFEMARK SECURITIES CORP.
2108 Genesee Street
Utica, NY 13502

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
B	General Securities Principal Examination (S24)	Series 24	09/09/2009

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/13/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/17/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/27/1999

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	09/19/2012 - 05/12/2015	LEIGH BALDWIN & CO., LLC	CRD# 38751	UTICA, NY
B	04/02/2007 - 10/05/2012	IBN FINANCIAL SERVICES, INC.	CRD# 42360	UTICA, NY
B	11/14/2006 - 04/02/2007	LEIGH BALDWIN & CO., LLC	CRD# 38751	UTICA, NY
B	01/31/2001 - 11/09/2006	M. GRIFFITH LOCKE INVESTMENT SERVICES INC.	CRD# 2078	NEW HARTFORD, NY
B	08/09/2000 - 01/23/2001	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI
B	04/11/2000 - 01/23/2001	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	MILWAUKEE, WI
B	08/16/1999 - 02/03/2000	M. GRIFFITH LOCKE INVESTMENT SERVICES INC.	CRD# 2078	NEW HARTFORD, NY

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
05/2015 - Present	LIFEMARK SECURITIES CORP.	REGISTERED REPRESENTATIVE	Y	ROCHESTER, NY, United States
02/2007 - Present	David K GRIFFITH, INC. aka DK Griffith & Company	OWNER	Y	UTICA, NY, 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. D. K. Griffith and Company/Investment related/2108 Genesee Street, Utica NY 13502/Simple tax prep and small business consulting/self employed/tax preparer and consultant, insurance sales & service/1/2007/20 hours per month.

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:	LIFEMARK SECURITIES CORP.
Allegations:	Allegations pertain to investments in alternative products intended to be a small component of a larger diversified portfolio. Investments were purchased from 03/2017 to 01/2021. Unfortunately, the company that issued one of the investments has since filed Chapter 11 bankruptcy. As a result, the client is alleging failure to perform due diligence, unsuitable recommendation, breach of contract/ fiduciary duty, and negligence.
Product Type:	Debt-Corporate Equity Listed (Common & Preferred Stock) Real Estate Security
Alleged Damages:	$475,000.00
Alleged Damages Amount Explanation (if amount not exact):	Plus costs and fees.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	25-02070
Date Notice/Process Served:	11/19/2025

Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/10/2026
Monetary Compensation Amount:	$116,504.20
Individual Contribution Amount:	$0.00
Broker Statement	This claim was initiated by a representative of the client's estate who was not present during any of the investment discussions or the disclosure of risks. During the client's lifetime, all investments were made with their full consent and documented understanding of the market risks. The allegations do not reflect the actual interactions had with the client. LifeMark maintains the transactions giving rise to the client's estate representative's allegations were suitable and appropriate based on the information available at the time, including the characteristics of the investment product and the client's financial situation, risk tolerance, and objectives as represented by the client. LifeMark and the representative of the client's estate have entered into a Confidential Settlement Agreement and Release. The representative of the client's estate has provided a full release in favor of LifeMark. Neither the Settlement Agreement nor its convenants and releases shall be construed as an admission of liability by LifeMark or any of its agents, shareholders, principals, members, officers, directors, or representatives.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LIFEMARK SECURITIES CORP.
Allegations:	Allegations pertain to an investment in an alternative product intended to be a small component of a larger diversified portfolio. Investment was purchased in 02/2020. Unfortunately, the company that sold the investment has since filed Chapter 11 bankruptcy. Allegations include an unsuitable recommendation, failure to perform due diligence, negligence, and material misrepresentation. LifeMark believes this to be a suitable and appropriate transaction given the information available at the time of the transaction, concerning the investment product as well as the client's financials, risk tolerance, and objectives as represented by the client.
Product Type:	Debt-Corporate
Alleged Damages:	$265,000.00
Alleged Damages Amount Explanation (if amount not exact):	Loss of Principal, Punitive Damages, Interest, and Fees
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
Docket/Case #:	24-02287
Filing date of arbitration/CFTC reparation or civil litigation:	10/22/2024

Customer Complaint Information

Date Complaint Received:	10/28/2024
Complaint Pending?	No
Status:	Settled
Status Date:	10/20/2025
Settlement Amount:	$60,000.00
Individual Contribution Amount:	$0.00
Broker Statement	The investments recommended by Mr. Griffith appropriately matched Client's risk profiles and investment strategies. All risks and features of the investments were accurately disclosed and Client received and signed written disclosures. LifeMark and the clients have entered into a confidential Settlement Agreement and Release. The clients have provided a full release in favor of LifeMark. Neither the Settlement Agreement nor its covenants and releases shall be construed as an admission of liability by LifeMark or any of its agents, shareholders, principals, members, officers, directors, or representatives. Mr. Griffith was not involved in settlement discussions and did not contribute to the settlement.

Disclosure 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LIFEMARK SECURITIES CORP.
Allegations:	Allegations pertain to an investment in an alternative product, intended to be a small component of a larger diversified portfolio. Investments were purchased from 03/2020 to 12/2020. Unfortunately, the company that issued the investment has since filed Chapter 11 bankruptcy. As a result, the clients are alleging failure to perform due diligence, material misrepresentation, negligence, and an unsuitable recommendation.
Product Type:	Debt-Corporate
Alleged Damages:	$100,001.00
Alleged Damages Amount Explanation (if amount not exact):	Recovery of damages against respondent, as well as lost opportunity costs, prejudgment interest, costs, reasonable attorney's fees, and punitive damages.
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
Docket/Case #:	24-00538
Filing date of arbitration/CFTC reparation or civil litigation:	03/12/2024

Customer Complaint Information

Date Complaint Received:	03/18/2024
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	05/20/2025
Settlement Amount:	$133,835.31
Individual Contribution Amount:	$0.00
Broker Statement	After hearing another, unrelated, firm advertise the specific product at issue, Claimants requested we purchase this product on their behalf. Only after the financial advisor met with the clients to determine whether or not such a purchase would be suitable for the clients, did he facilitate a small investment in this speculative product as part of the clients' overall diversified portfolio. The advisor even advised against a later request of the clients' to add to their position and instead had advised the clients that they should "go to cash", as this was during the COVID pandemic and the economic uncertainty of 2020. The paperwork that Claimants even acknowledged they signed indicated the risks inherent with this investment, including that this company could go bankrupt. Unfortunately, the issuing company did file bankruptcy in 2022, and the Claimants filed this arbitration. While Respondent denies all allegations made in the Statement of Claim and asserts various affirmative defenses, the panel decided Respondent is liable for and shall pay the Claimants compensatory damages and attorneys' fees. All other claims for relief, including any requests for punitive damages, are denied.

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LIFEMARK SECURITIES CORP.
Allegations:	Allegations pertain to an investment in an alternative product, intended to be a small component of a larger diversified portfolio. Unfortunately, the company that issued the investment has since filed Chapter 11 bankruptcy. As a result, the clients are alleging negligence, breach of fiduciary duty, breach of contract, and unjust enrichment. Clients purchased the alternative product between February 2020 to March of 2021. LifeMark believes this to be a suitable and appropriate transaction given the information available at the time of the transaction, concerning the investment product as well as the client's financials, risk tolerance, and objectives as represented by the client.
Product Type:	Debt-Corporate
Alleged Damages:	$150,000.00

Alleged Damages Amount Explanation (if amount not exact):	seeking at least $150,000.00 plus attorney's fees
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
Docket/Case #:	23-03319
Filing date of arbitration/CFTC reparation or civil litigation:	11/21/2023

Customer Complaint Information

Date Complaint Received:	11/28/2023
Complaint Pending?	No
Status:	Settled
Status Date:	10/23/2025
Settlement Amount:	$30,000.00
Individual Contribution Amount:	$0.00
Broker Statement	These investments were unsolicited due to the clients approaching Mr. Griffith seeking these investments. All risks and features of the investment were clearly and accurately disclosed, in which the clients received and signed written disclosures with initials specifically acknowledging risk of bankruptcy. The investments recommended by Mr. Griffith appropriately matched Clients' risk profiles and investment strategies. LifeMark and the clients have entered into a confidential Settlement Agreement and Release. The clients have provided a full release in favor of LifeMark. Neither the Settlement Agreement nor its covenants and releases shall be construed as an admission of liability by LifeMark or any of its agents, shareholders, principals, members, officers, directors, or representatives. Mr. Griffith was not involved in settlement discussions and did not contribute to the settlement.

End of Report

This page is intentionally left blank.