



## IAPD Report

**MARK JEROME ALLEN**

CRD# 4581548

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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 JEROME ALLEN (CRD# 4581548)

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 **12/18/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ALLEN CAPITAL GROUP, LLC	CRD# 135879	07/29/2005

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	PURSHE KAPLAN STERLING INVESTMENTS	35747	GRAND ISLAND, NE	07/29/2005 - 03/10/2021
IA	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	6363	GRAND ISLAND, NE	10/22/2002 - 08/02/2005
B	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	6363	MINNEAPOLIS, MN	09/17/2002 - 08/02/2005

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?

**No**



## 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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **ALLEN CAPITAL GROUP, LLC**

Main Address: 3540 PRAIRIEVIEW STREET  
SUITE 200  
GRAND ISLAND, NE 68803

Firm ID#: 135879

	Regulator	Registration	Status	Date
	Nebraska	Investment Adviser Representative	Approved	08/08/2005
	Texas	Investment Adviser Representative	Approved	07/29/2005

### Branch Office Locations

**ALLEN CAPITAL GROUP, LLC**

3540 PRAIRIEVIEW STREET  
SUITE 200  
GRAND ISLAND, NE 68803



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	09/16/2002

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	10/15/2002



### 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	07/29/2005 - 03/10/2021	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	GRAND ISLAND, NE
IA	10/22/2002 - 08/02/2005	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	CRD# 6363	GRAND ISLAND, NE
B	09/17/2002 - 08/02/2005	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	09/17/2002 - 08/02/2005	IDS LIFE INSURANCE COMPANY	CRD# 6321	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
07/2005 - Present	ALLEN CAPITAL GROUP, LLC	MANAGING MEMBER	Y	GRAND ISLAND, NE, United States
07/2005 - 03/2021	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	ALBANY, 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. ALLEN CAPITAL GROUP. Investment Related. 3540 Prairieview Street, Ste 200, Grand Island NE. RIA. Managing Member.
2. INSURANCE AGENT. Not investment related. 18 Corporate Woods Blvd, Albany NY. Insurance. Agent. Start 7/2006.
3. STUHR MUSEUM OF THE PRAIRIE PIONEER, NON-INVESTMENT RELATED, 3133 W. HWY 34 GRAND ISLAND NE 68801. HISTORICAL MUSEUM, OPERATING BOARD TRUSTEE JANUARY 2014, 2 HOURS MONTH, POLICY MAKING AUTHORITY IN THE CONDUCT OF THE OPERATION OF THE MUSEUM.
4. VERITAS PROFESSIONAL GROUP, LLC, 3032 W STOLLEY PARK RD, GRAND ISLAND, NE 68861. NOT INVESTMENT RELATED, 9/2015-PRESENT, MEMBER/DIRECTOR OF ACCOUNTING FIRM, 5 HRS/MONTH DURING TRADING.
5. GRAND ISLAND CHAMBER OF COMMERCE; NOT INVESTMENT RELATED; 390 W 2ND ST GRAND ISLAND, NE 68801; LOCAL CHAMBER OF COMMERCE; BOARD MEMBER; 01/2017; 2 HOURS/MONTH; 2 HOURS/MONTH DURING TRADING HOURS; ESTABLISHING THE DIRECTION AND DEVELOPING THE STRATEGIC PLAN FOR THE GRAND ISLAND CHAMBER OF COMMERCE
6. KEYSTONE PROPERTIES, LLC; NOT INVESTMENT RELATED; 3032 W STOLLEY PARK RD GRAND ISLAND, NE 68801; REAL ESTATE HOLDING COMPANY; MANAGING MEMBER; 2/2017; 10 HOURS/MONTH; 0 HOURS DURING SECURITIES



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

HOURS; MANAGING MEMBER, REAL ESTATE HOLDING COMPANY FOR RENTAL REAL ESTATE

7. Kenmare Owners Association-Not investment related-2712 Pioneer Blvd, Grand Island, NE 68801-Homeowners Association-Director-9/1/2018-.25 hrs/mth-0 during trading hrs-Board of directors for the homeowners association.

8. ACG Solutions, Inc.-Not investment related-3032 W. Stolley Park Rd, Grand Island, NE-68801-Marketing & client relations for RIA firm, Allen Capital Group, LLC-President-1/2019--Management of staff, review of financial statements.

9. Co-Owner; c; Is the business investment related: No; Location of the business: 3540 Prairieview Street, Ste 200 Grand Island Nebraska 68803 US; Description of the business: Accounting firm.; Responsibilities Duties: Overall operations of the accounting firm.; Start date with business: 2023-11-13; Hours per month devoted to business during trading hours: 5; Hours per month devoted to business outside trading hours: 5; Percentage of total yearly compensation expected to be derived from the business: 0;

10. Mark Allen is a Board Member and on the Finance Committee at College Park at Grand Island. College Park strives to increase the quality of life throughout our region by providing a unique center for education, arts, and entertainment. We seek to impact the future by enhancing collaboration with current and potential partners who provide relevant and affordable post-secondary education, personal enrichment, and life-long learning opportunities. His responsibilities are to ensure proper oversight and enable the organization to make consistent progress toward its mission. Start date with business: 2023-07-28; Hours per month devoted to business during trading hours: 1; Hours per month devoted to business outside trading hours: 1; Percentage of total yearly compensation expected to be derived from the business: 0;



## End of Report

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