IAPD Report

Mark Anthony Nash

CRD# 5410794

Section Title

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 Anthony Nash (CRD# 5410794)

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 **03/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	10/09/2019
IA	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	10/11/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	H.D. VEST ADVISORY SERVICES, INC	104556	PEARLAND, TX	06/03/2008 - 12/01/2017
B	HD VEST INVESTMENT SERVICES	13686	PEARLAND, TX	09/25/2007 - 12/01/2017

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
Financial	2
Judgment/Lien	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 **1** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **TRANSAMERICA FINANCIAL ADVISORS, LLC**

Main Address: TWO LIBERTY PLACE
50 SOUTH 16TH STREET, SUITE 3700
PHILADELPHIA, PA 19102

Firm ID#: 16164

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/09/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	10/09/2019
B	Texas	Agent	Approved	10/11/2019
IA	Texas	Investment Adviser Representative	Approved	10/11/2019

Branch Office Locations

TRANSAMERICA FINANCIAL ADVISORS, LLC
6200 SAVOY DR
#701
HOUSTON, TX 77036

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	12/01/2017
B	General Securities Representative Examination (S7)	Series 7	05/14/2008
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/24/2007

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/21/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/03/2007

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	06/03/2008 - 12/01/2017	H.D. VEST ADVISORY SERVICES, INC	CRD# 104556	PEARLAND, TX
B	09/25/2007 - 12/01/2017	HD VEST INVESTMENT SERVICES	CRD# 13686	PEARLAND, 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
10/2019 - Present	TRANSAMERICA FINANCIAL ADVISORS, INC	Registered Representative	Y	HOUSTON, TX, United States
02/2018 - Present	WFGIA	Agent	Y	HOUSTON, TX, United States
06/2016 - Present	iStockPhoto, A subsidiary of Getty Images	Other	Y	Chicago, IL, United States
09/2009 - Present	Texas Windstorm Insurance Association	Insurance Sales Agent	Y	Austin, TX, United States
09/2009 - Present	The Woodlands Financial Group General Agency	Insurance Sales Agent	Y	The Woodlands, TX, United States
01/2008 - Present	GOD'S HOLISTIC TEMPLE	PRESIDENT	Y	PEARLAND, TX, United States
11/2007 - Present	MARK NASH INSURANCE AGENCY	PRESIDENT/OWNER	Y	PEARLAND, TX, United States
01/2002 - Present	NASH RECORDS	PRESIDENT/OWNER	Y	PEARLAND, TX, United States
01/2002 - Present	SERENE PROFESSIONAL SOLUTIONS LLC	OWNER/PRESIDENT	Y	PEARLAND, TX, United States
06/2024 - 03/2026	Louisiana Department of Revenue	Auditor	N	Houston, TX, United States
12/2021 - 12/2022	Internal Revenue Service	Auditor	N	Philadelphia, PA, United States
05/2018 - 12/2021	TEXAS ALCOHOLIC BEVERAGE COMMISSION	AUDITOR IV	N	HOUSTON, TX, United States
06/2008 - 12/2017	H.D. VEST ADVISORY SERVICES	ADVISORY REPRESENTATIVE	Y	PEARLAND, TX, United States
09/2007 - 12/2017	HD VEST INVESTMENT SERVICES	REGISTERED REP AND INVESTMENT ADVISER REP	Y	IRVING, TX, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2015 - 05/2017	PROGRESSIVE CASUALTY INSURANCE COMPANY	INSURANCE SALES AGENT	N	MAYFIELD VILLAGE, OH, 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.

Sales of insurance and non-insurance products, part-time or full-time, for companies affiliated with Transamerica Financial Advisors, Inc.

SERENE PROFESSIONAL SOLUTIONS LLC/Investment Related - No/8814 Sunforest Ln Pearland, Texas 77584 713-858-9131/Serene Professional Solutions primarily provides tax preparation services. Other activities including accounting, tax preparation, technology, and business consulting./President/owner./01.2002/10/10/My function is to provide quality service and grow the company.

NASH RECORDS/Investment Related - No/8814 Sunforest Ln Pearland, Texas 77584 and 713-858-9131/I am an independent artist. Business activities include singing/songwriting, filmmaking, creating music, and photography./President/owner/01.2002/5/5/President/Owner-My function is to provide quality service and grow the company.

MARK NASH INSURANCE AGENCY/Investment Related - No/8814 Sunforest Ln Pearland, Texas 77584 and 713-858-9131/Mark Nash Insurance Agency provides life, health, and property and casualty insurance./President/owner/11.2007/5/5/President/Owner-My function is to provide quality service and grow the company.

GOD'S HOLISTIC TEMPLE/Investment Related - No/8814 Sunforest Ln Pearland, Texas 77584 and 713-858-9131/GHT is a church that focuses on the worship of God and contributing to society in a positive way./President/01.2008/5/5/President-My function is to provide quality service and grow the church.

THE WOODLANDS FINANCIAL GROUP / 0909-Present/ Investment Related: No // 1201 LAKE WOODLANDS DRIVE STE 4020 WOODLANDS, TX 77380 / Agent / INSURANCE SALES / Hrs. Work Monthly: 4 / Sec Trading Hrs.: 0/ SALE AGENT/GENERAL PROPERTY LINES, COMMERICAL LIABILITY, CASUALTY, MOBILE RENTERS AND FLOOD INSURANCE.

Texas Windstorm Insurance Association / 0909-Present / Investment Related: No /5700 SOUTH MOPAC EXPRESSWAY BLD E STE 530 AUSTIN TX 78749 / SALES AGENT/ NA / Hrs. Work Monthly: 4/ Sec Trading Hrs.: 0/ Insurance sales

iStockPhoto, A subsidiary of Getty Images / Co Name / Emp Dates / Investment Related: /55 E. Monroe Street 17th FL, Ste 1700 Chicago, IL 60603 / iStock Contributor / photography / Hrs. Work Monthly: 4 / Sec Trading Hrs.: 0 / as a photographer, I take pictures and upload the pictures to the iStock website and iStock makes the photos available for sell to the public

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
Financial	2
Judgment/Lien	1

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 2

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	07/03/2019
Organization Investment-Related?	No
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	07/03/2019
If a compromise with creditor, provide:	
Name of Creditor:	Elan Financial Services
Original Amount Owed:	$5,256.98
Terms Reached with Creditor:	Settlement of $2,628.49.
Broker Statement	Hurricane Harvey impacted Houston, Texas and surrounding areas. The result was lack of income such that I had to modify my home mortgage and accept employment at less income which impacted this credit card payment.

Disclosure 2 of 2

Reporting Source:	Individual
Action Type:	Compromise

Action Date:	08/09/2019
Organization Investment-Related?	No
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	08/09/2019
If a compromise with creditor, provide:	
Name of Creditor:	Capital One
Original Amount Owed:	$10,901.61
Terms Reached with Creditor:	Settlement of $6,600.
Broker Statement	Hurricane Harvey impacted Houston, Texas and surrounding areas. The result was lack of income such that I had to modify my home mortgage and accept employment at less income which impacted this credit card payment.

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Capital One National Association
Judgment/Lien Amount:	$19,762.99
Judgment/Lien Type:	Civil
Date Filed with Court:	06/28/2022
Date Individual Learned:	07/05/2022
Type of Court:	State Court
Name of Court:	District Court Brazoria County
Location of Court:	Brazoria County, TX
Docket/Case #:	70954
Judgment/Lien Outstanding?	Yes

End of Report

This page is intentionally left blank.

