



IAPD Report

Andrew Wesley Hughes

CRD# 5814994

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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

Andrew Wesley Hughes (CRD# 5814994)

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 **10/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LIFEMARK SECURITIES CORP.	CRD# 16204	05/06/2024
B	LIFEMARK SECURITIES CORP.	CRD# 16204	05/08/2024

QUALIFICATIONS

This representative is currently registered in **1** 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	FARMERS FINANCIAL SOLUTIONS, LLC	103863	OCONOMOWOC, WI	11/15/2019 - 09/22/2020
IA	FARMERS FINANCIAL SOLUTIONS, LLC	103863	OCONOMOWOC, WI	12/26/2019 - 03/02/2020
IA	THRIVENT INVESTMENT MANAGEMENT INC.	18387	WEST BEND, WI	10/05/2010 - 10/30/2018

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
Termination	1
Financial	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 2 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 Representative	Approved	05/08/2024
B	Minnesota	Agent	Approved	05/30/2024
IA	Wisconsin	Investment Adviser Representative	Approved	05/06/2024
B	Wisconsin	Agent	Approved	05/09/2024

Branch Office Locations

LIFEMARK SECURITIES CORP.
203 EAST WISCONSIN AVE
SUITE 207
OCONOMOWOC, WI 53066

LIFEMARK SECURITIES CORP.
203 E. Wisconsin Ave.
Suite 207
Oconomowoc, WI 53066



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
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7TO)	Series 7TO	04/22/2024
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	09/02/2010

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	04/11/2024



PROFESSIONAL DESIGNATIONS

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

No information reported.



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	11/15/2019 - 09/22/2020	FARMERS FINANCIAL SOLUTIONS, LLC	CRD# 103863	OCONOMOWOC, WI
IA	12/26/2019 - 03/02/2020	FARMERS FINANCIAL SOLUTIONS, LLC	CRD# 103863	OCONOMOWOC, WI
IA	10/05/2010 - 10/30/2018	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	WEST BEND, WI
B	09/03/2010 - 10/30/2018	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	WEST BEND, WI

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
10/2025 - Present	ST. JOAN OF ARC SCHOOL	TEACHER	N	Nashotah, WI, United States
09/2025 - Present	ST. JOAN OF ARC CHURCH	VOLUNTEER FINANCE COUNCIL MEMBER	N	NASHOTAH, WI, United States
12/2024 - Present	ST. JOAN OF ARC SCHOOL	BASKETBALL COACH	N	NASHOTAH, WI, United States
11/2023 - Present	LIFEMARK SECURITIES CORP.	REGISTERED REPRESENTATIVE, INVESTMENT ADVISOR REPRESENTATIVE.	Y	ROCHESTER, NY, United States
12/2019 - Present	HUGHES FINANCIAL SERVICES	INDEPENDENT INSURANCE AGENT	Y	OCONOMOC, WI, United States
11/2019 - Present	BASKETBALL COACH	TRAVEL BASKETBALL COACH	N	SE WISCONSIN, WI, United States
06/2023 - 06/2024	ST. JOAN OF ARC CHURCH & SCHOOL	VOLUNTEER CHURCH COUNCIL MEMBER	N	NASHOTAH, WI, United States
02/2019 - 09/2020	Farmers Insurance	Agent	N	Oconomowoc, WI, United States
10/2019 - 03/2020	Farmers Financial Solutions	Registered Representative	Y	Oconomowoc, WI, United States
10/2018 - 02/2019	Unemployed	Unemployed	N	Hartford, WI, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2010 - 10/2018	THRIVENT FINANCIAL FOR LUTHERANS	FINANCIAL ASSOCIATE	Y	APPLETON, WI, United States
08/2010 - 10/2018	THRIVENT INVESTMENT MANAGEMENT INC	REGISTERED REPRESENTATIVE	Y	WEST BEND, WI, 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) HUGHES FINANCIAL SERVICES / INVESTMENT RELATED / 203 EAST WISCONSIN AVE. SUITE 207, OCONOMOWOC, WI, 53066 / INDEPENDENT INSURANCE AGENT / START 02/2019 / 120 HOURS/MONTH / 120 HOURS/MONTH DURING SECURITIES TRADING HOURS / SALES AND SERVICE OF LIFE, HEALTH, DISABILITY, AND LTC INSURANCE PRODUCTS.
- 2) HIGH SCHOOL BASKETBALL OFFICIAL / NOT INVESTMENT RELATED / NUMEROUS SCHOOLS IN SE WISCONSIN / START 11/2019 / 4-8 HOURS/MONTH / 0 HOURS/MONTH DURING SECURITIES TRADING HOURS / OFFICIATE BASKETBALL AT THE HIGH SCHOOL LEVEL AS A TRAVEL BASKETBALL COACH.
- 3) CHURCH FINANCE COUNCIL MEMBER / NOT INVESTMENT RELATED / 120 NASHOTAH ROAD, NASHOTAH, WI 53058 / VOLUNTEER / START 09/2025 / 1.5 HOURS/MONTH / 0 HOURS/MONTH DURING SECURITIES TRADING HOURS / PROVIDE COUNSEL TO PASTOR ON FINANCIAL MATTERS. DOES NOT HAVE CHECK WRITING ABILITIES NOR MAKE INVESTMENT OFFERS.
- 4) BASKETBALL COACH / NOT INVESTMENT RELATED / 120 NASHOTAH ROAD, NASHOTAH, WI 53058 / VOLUNTEER ELEMENTARY SCHOOL COACH AT ST. JOAN OF ARC / START 12/2024 / 20 HOURS/MONTH / 0 HOURS/MONTH DURING TRADING HOURS.
- 5) TEACHER/ NOT INVESTMENT RELATED / ST. JOAN OF ARC SCHOOL, NASHOTAH, WI / VOLUNTEER / START 10/2025 / 5 HOURS/MONTH / 5 HOURS/MONTH DURING SECURITIES TRADING HOURS / TEACHING STUDENTS THE BASICS OF INVESTING USING THE STOCK MARKET GAME OF WISNCONSIN'S PROGRAM.



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
Termination	1
Financial	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: Thrivent Investment Management Inc.

Termination Type: Discharged

Termination Date: 10/01/2018

Allegations: Six (6) Firm clients with managed accounts advised the Firm that they had not had required annual reviews. Electronic entries were created indicating that such annual reviews with these clients occurred. The creation of electronic entries of meetings when no such meetings occurred resulted in advisory books-and-records that were not accurate.

Product Type: Other: Managed Accounts

.....

Reporting Source: Individual

Firm Name: Thrivent Financial

Termination Type: Discharged

Termination Date: 10/01/2018

Allegations: Six firm clients with managed accounts advised the Firm that they had not had required annual reviews. Electronic entries were created indicating that such annual reviews with these clients occurred. The creation of electronic entries of meetings when no such meetings occurred resulted in advisory books-and-records that were not accurate.

Product Type: Other: Managed Accounts

Broker Statement (Only after I had brought forth allegations, with proof, against colleagues.. Then after being threatened by the same colleagues (to which I reported to Thrivent's



code of conduct both times via timestamped email), the clients of the colleagues in question called Thrivent to assert that managed account reviews were either conducted on a different day than what was documented by myself in our internal notes software (not shared with public/clients whatsoever), or that the meetings themselves had not occurred-- from approx. 18-28 months prior, but clients "suddenly" called Thrivent to allege the exact same 'story.'

*FINRA, as well as Thrivent (per my U5), conducted their inquiry that lasted 13 months. The result of this inquiry was that no wrongdoing was ever found. Thrivent determined the same thing, and indicated such on my U5 when asked if they could determine wrongdoing based upon their own internal investigation.



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 1

Reporting Source: Individual
Action Type: Compromise
Action Date: 07/18/2023

Organization Investment-Related?

Action Pending? No
Disposition: Discharged
Disposition Date: 07/18/2023

If a compromise with creditor, provide:

Name of Creditor: Chase
Original Amount Owed: \$6,995.59
Terms Reached with Creditor: \$3991.29 debt discharged.



End of Report

This page is intentionally left blank.