



IAPD Report

MARK HUBER

CRD# 5976354

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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 HUBER (CRD# 5976354)

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 **10/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	03/02/2012
IA	CONCORDE ASSET MANAGEMENT, LLC	CRD# 140367	07/02/2013

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	WORLD EQUITY GROUP, INC.	29087	ARLINGTON HEIGHTS, IL	10/06/2011 - 03/02/2012

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	3



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 2

Firm Name: **CONCORDE INVESTMENT SERVICES, LLC**
Main Address: 3909 RESEARCH PARK DRIVE
SUITE 200
ANN ARBOR, MI 48108
Firm ID#: 151604

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	03/02/2012
B Alabama	Agent	Approved	05/26/2020
B Arizona	Agent	Approved	09/22/2021
B California	Agent	Approved	04/13/2015
B Colorado	Agent	Approved	03/02/2012
B Florida	Agent	Approved	03/02/2012
B Illinois	Agent	Approved	03/02/2012
B Indiana	Agent	Approved	03/02/2012
B Iowa	Agent	Approved	12/05/2018
B Maryland	Agent	Approved	04/21/2025
B Michigan	Agent	Approved	07/13/2021
B Minnesota	Agent	Approved	10/27/2025
B Nevada	Agent	Approved	07/20/2021



Qualifications

Regulator	Registration	Status	Date
B New Mexico	Agent	Approved	03/07/2022
B North Carolina	Agent	Approved	07/19/2021
B North Dakota	Agent	Approved	04/26/2021
B Ohio	Agent	Approved	06/13/2023
B Oklahoma	Agent	Approved	11/30/2022
B Texas	Agent	Approved	11/30/2018
B Wisconsin	Agent	Approved	03/02/2012

Branch Office Locations

6226 BANKERS ROAD
STE. 1
RACINE, WI 53403

12545 Farm Hill Place
Huntley, IL 60142

580 Longbow Drive
#E-126
Maumee, OH 43537

Employment 2 of 2

Firm Name: **CONCORDE ASSET MANAGEMENT, LLC**
Main Address: 3909 RESEARCH PARK DRIVE
SUITE 200
ANN ARBOR, MI 48108
Firm ID#: 140367

Regulator	Registration	Status	Date
IA Alabama	Investment Adviser Representative	Approved	12/26/2024
IA Arizona	Investment Adviser Representative	Approved	11/04/2021
IA California	Investment Adviser Representative	Approved	06/02/2021



Qualifications

Regulator	Registration	Status	Date
IA Colorado	Investment Adviser Representative	Approved	07/02/2013
IA Florida	Investment Adviser Representative	Approved	02/27/2017
IA Illinois	Investment Adviser Representative	Approved	07/02/2013
IA Indiana	Investment Adviser Representative	Approved	05/04/2017
IA Iowa	Investment Adviser Representative	Approved	12/05/2018
IA Maryland	Investment Adviser Representative	Approved	12/03/2024
IA Michigan	Investment Adviser Representative	Approved	06/15/2023
IA Nevada	Investment Adviser Representative	Approved	07/16/2021
IA New Mexico	Investment Adviser Representative	Approved	03/07/2022
IA North Carolina	Investment Adviser Representative	Approved	12/07/2018
IA North Dakota	Investment Adviser Representative	Approved	06/01/2021
IA Ohio	Investment Adviser Representative	Approved	06/13/2023
IA Oklahoma	Investment Adviser Representative	Approved	12/05/2022
IA Texas	Investment Adviser Representative	Restricted Approval	12/03/2018
IA Virginia	Investment Adviser Representative	Approved	12/11/2018
IA Wisconsin	Investment Adviser Representative	Approved	05/08/2017

Branch Office Locations

CONCORDE ASSET MANAGEMENT, LLC
6226 Bankers Road
Suite 1
Racine, WI 53403

CONCORDE ASSET MANAGEMENT, LLC
12545 Farm Hill Place
Huntley, IL 60142



Qualifications

CONCORDE ASSET MANAGEMENT, LLC

580 Longbow Drive
#E-126
Maumee, OH 43537



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	10/05/2011
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/20/2013
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B Uniform Securities Agent State Law Examination (S63)	Series 63	10/19/2011
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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	10/06/2011 - 03/02/2012	WORLD EQUITY GROUP, INC.	CRD# 29087	ARLINGTON HEIGHTS,

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
07/2013 - Present	CONCORDE ASSET MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	TROY, MI, United States
03/2012 - Present	CONCORDE INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	TROY, MI, 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-MARK HUBER REAL ESTATE, 1623 WHITCOMB AVE, DES PLAINES, IL 60018. STARTED 6/2009. USE ONLY FOR MY OWN PROPERTIES AND FOR REFERRAL INCOME. HAVE NO RECEIVED ANY REFERRAL MONEY AS OF 3/1/12 BUT MAY IN THE FUTURE. REQUIRES NO TIME PER WEEK.

2 - INVESTMENT ADVISOR REP WITH CONCORDE ASSET MANAGEMENT. ARLINGTON HTS., IL. INVESTMENT RELATED. 11-20 HRS/MONTH DURING BUSINESS HOURS. INVESTMENT ADVICE, SALES AND SERVICE.

3 - TADA WEALTH ADVISORS. INVESTMENT RELATED. FINANCIAL ADVISORY FIRM. RACINE, WI. PARTNER. ADVISING CLIENTS ON INVESTMENT RELATED TOPICS AND GENERAL OPERATIONS MANAGEMENT. FULL TIME DURING TRADING HOURS.

4 - Insurance Sales/Concorde Insurance Agency; Investment related, Start date: 2012. Insurance Agent; provide insurance services to clients when appropriate. 11-20 hours/week during trading hours.

5 - College Planning Partners, 1020 S. Arlington Heights Rd, Arlington Heights, IL 60005. Investment Related. Partner, college planning. 11-20 hours/mo during business hours, 11-20 hours/mo outside business hours.

6- Zilis, 5700 Granite Pkwy, Suite 200, Plano, TX 75024. Not Investment Related. Independent Contractor, sales of nutritional supplements. 1-5 hours/month outside business hours, 6-10 hrs/month during business hours.

7. Stryde Advisors (Stryde Solutions), 15173 North Rd #201, Fenton, MI 48430. Not Investment Related. Agent, Introduce companies to cost savings opportunities through the Stryde platform. 6-10 hours/mo outside business hours, 9-5 hours/mo during business hours.

8. Thornwood Financial, Investment Related. South Elgin, IL. As of 2022, this is the DBA for financial advisory services and securities business activities. Small business consulting, exit & succession planning, life insurance sales (not variable), college planning and debt management consulting. Owner/ President. General consulting. 1-5 hours/mo outside business hours, 1-5 hours/mo during business hours.

9. Parents 4 Progress. Non-investment related. Start date, November 2020. President. Organization providing parents an amplified a voice in the policies that affect their kids educational experience, like getting them back in school. 1-5 hours/month during trading hours.

10. 1031 DST Advisor, Investment related, Start date 04/2019, Mount Pleasant, WI. Advise clients on 1031 exchanges into a



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DST. Owner/Advisor. 6-10 hours/month during trading hours.

11. Strategic Risk Alternatives. Investment related. Start date: 07/2019. Field Marketing Representative introducing potential clients looking for a captive insurance strategy. Eagle, ID. 1-5 hours/month during trading hours.

12. Neighborhood Direct, Non investment related. St Charles Il, Advertising, President manage creative & sales staff.

Owner/President. Start Date 11/2022. 1-5hours/monthly during non trading hours. 1-5hours/month during trading hours.

13. Painless Tax Solutions, Non investment related. 12545 Fam Hill Drive, Huntley Il, 61042, Tax return processing and tax consulting, President, manage tax preparers and staff, 50% Owner. Start date 12/16/2022, 1-5 hours/month during non business hours. 1-5 hours/month during business hours.

14. Tax Practice Academy, Non investment related. 710 Waterside Drive, South Elgin, Il 60177, consulting w/owners of tax practices on overcoming the increase of AI and DIY Services in their industry by creating deeper relationships with their clients through insights and value added client engagements. President, Start Date 12/14/2023, 1-5 hours/mnth during non trading hours, 1-5 hours/mnth during trading hours.



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CONCORDE INVESTMENT SERVICES, LLC
Allegations:	Clients are alleging that rep failed to recommend suitable investments resulting in significant losses. Activity occurred from 2019 to 2025.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$500,000.00
Alleged Damages Amount Explanation (if amount not exact):	Client is alleging damages of approximately \$500,000 to \$900,000.
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 #:	25-00753
Filing date of arbitration/CFTC reparation or civil litigation:	04/11/2025

Customer Complaint Information



Date Complaint Received: 04/11/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Concorde Investment Services, LLC

Allegations: Claim alleges breach of contract and warranties, violation of Indiana Securities Act, breach of fiduciary duty, and negligence misrepresentations and omissions, related to investment made in June of 2014.

Product Type: Other: Real Estate Investment Trust

Alleged Damages: \$32,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 20-04118

Filing date of arbitration/CFTC reparation or civil litigation: 12/17/2020

Customer Complaint Information

Date Complaint Received: 12/29/2020

Complaint Pending? No

Status: Settled

Status Date: 12/21/2021

Settlement Amount: \$14,999.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Concorde Investment Services, LLC

Allegations: Claim alleges violation of Illinois securities laws, breach of fiduciary duty, violation of FINRA Rule 2010, 2120, 2111, 2111.05a, 3110, negligence and negligent misrepresentations, and vicarious liability relating to investments made in January



2018.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$150,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 20-03885

Filing date of arbitration/CFTC reparation or civil litigation: 11/23/2020

Customer Complaint Information

Date Complaint Received: 11/24/2020

Complaint Pending? No

Status: Settled

Status Date: 07/27/2021

Settlement Amount: \$80,000.00

Individual Contribution Amount: \$0.00



End of Report

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