User Guidance

www.adviserinfo.sec.gov

IAPD Report

Mark Timothy Mallia Jr

CRD# 6189608

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7

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 Timothy Mallia Jr (CRD# 6189608)

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 **08/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BANKERS LIFE SECURITIES, INC.	CRD# 173962	05/26/2016
IA	BANKERS LIFE ADVISORY SERVICES, INC.	CRD# 281285	11/22/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	INVESTMENT ADVISORS	15708	MOUNT PLEASANT, MI	07/01/2013 - 05/27/2016
B	PROEQUITIES, INC.	15708	MOUNT PLEASANT, MI	05/23/2013 - 05/26/2016

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

Employment 1 of 2

Firm Name: **BANKERS LIFE SECURITIES, INC.**

Main Address: 303 E WACKER DRIVE
STE 500
CHICAGO, IL 60601

Firm ID#: 173962

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/26/2016
B	FINRA	General Securities Principal	Approved	09/30/2017
B	Alabama	Agent	Approved	02/08/2023
B	Arizona	Agent	Approved	02/08/2023
B	Arkansas	Agent	Approved	02/08/2023
B	California	Agent	Approved	02/08/2023
B	Colorado	Agent	Approved	02/08/2023
B	Delaware	Agent	Approved	01/27/2025
B	Florida	Agent	Approved	02/08/2023
B	Georgia	Agent	Approved	01/09/2025
B	Idaho	Agent	Approved	02/08/2023
B	Illinois	Agent	Approved	04/25/2022
B	Indiana	Agent	Approved	01/24/2019

User Guidance

www.adviserinfo.sec.gov

Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	08/14/2026
B	Maryland	Agent	Approved	01/09/2025
B	Massachusetts	Agent	Approved	11/26/2024
B	Michigan	Agent	Approved	05/26/2016
B	Minnesota	Agent	Approved	09/29/2023
B	Missouri	Agent	Approved	01/08/2025
B	Montana	Agent	Approved	01/30/2024
B	Nebraska	Agent	Approved	02/08/2023
B	Nevada	Agent	Approved	01/09/2025
B	New Hampshire	Agent	Approved	02/08/2023
B	New Jersey	Agent	Approved	01/08/2025
B	New York	Agent	Approved	01/31/2023
B	North Carolina	Agent	Approved	01/08/2025
B	Ohio	Agent	Approved	09/06/2016
B	Oregon	Agent	Approved	02/13/2024
B	Pennsylvania	Agent	Approved	06/19/2017
B	South Carolina	Agent	Approved	12/10/2018
B	Tennessee	Agent	Approved	02/08/2023
B	Texas	Agent	Approved	02/08/2023

Qualifications

	Regulator	Registration	Status	Date
B	Washington	Agent	Approved	02/08/2023
B	West Virginia	Agent	Approved	03/28/2024
B	Wisconsin	Agent	Approved	02/08/2023
B	Wyoming	Agent	Approved	01/09/2025

Branch Office Locations

25101 Chagrin Boulevard
Ste 170
BEACHWOOD, OH 44122

Employment 2 of 2

Firm Name:	**BANKERS LIFE ADVISORY SERVICES, INC.**
Main Address:	303 E. WACKER DRIVE STE 500 CHICAGO, IL 60601
Firm ID#:	281285

	Regulator	Registration	Status	Date
IA	Ohio	Investment Adviser Representative	Approved	11/22/2016

Branch Office Locations

BANKERS LIFE ADVISORY SERVICES, INC.
25101 Chagrin Boulevard Ste 170
Beachwood, OH 44122

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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	09/30/2017

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	05/22/2013

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	06/06/2013

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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	07/01/2013 - 05/27/2016	INVESTMENT ADVISORS	CRD# 15708	MOUNT PLEASANT, MI
B	05/23/2013 - 05/26/2016	PROEQUITIES, INC.	CRD# 15708	MOUNT PLEASANT, MI

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
11/2016 - Present	Bankers Life Advisory Services	Financial Advisor/OSJ	Y	Beachwood, OH, United States
09/2016 - Present	BANKERS LIFE AND CASUALTY	Branch Sales Manager	N	Beachwood, OH, United States
05/2016 - Present	BANKERS LIFE SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	Beachwood, 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.

BANKERS LIFE
POSITION: Branch Sales Manager NATURE: Insurance Sales INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 09/01/2016
ADDRESS: 25101 Chagrin Blvd., #170, Beachwood OH 44122, United States
DESCRIPTION: Manage all aspects of operations for Bankers Life in the Cleveland North and Akron Ohio offices.

ETS CONSULTING
POSITION: President/CEO NATURE: This is my personal corporation to handle my 1099 activities. INVESTMENT RELATED: Yes NUMBER OF HOURS: 100 SECURITIES TRADING HOURS: 80 START DATE: 01/01/2019
ADDRESS: 34565 Seminole Way, Solon OH 44139, United States
DESCRIPTION: This is the company that I incorporated my 1099 business activities through BLC/BLS/BLAS into. Additionally ETS consulting is renting an RV through RV share.

HERITAGE ESTATES HOA
POSITION: Board Member NATURE: Home Owners Association INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/06/2023
ADDRESS: Heritage Estates, Seminole Way, Solon OH 44139, United States
DESCRIPTION: As described. I am to help with activities of managing the HOA including selecting a landscaper and ensuring our signage is accurate.

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	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	BANKERS LIFE SECURITIES, INC.
Allegations:	In a written complaint received on October 31, 2023, addressed to Bankers Life Securities, Inc. (BLS) client alleged their financial representative did not act in their best interest regarding a sale of stocks which resulted in a tax obligation. Client alleges that she was not informed of the taxes that would be due as a result of the sale. The client also purchased a Guaranteed Lifetime Income Annuity (GLIA) and is requesting to surrender this contract without penalties. The annuity was sold by Bankers Life and Casualty Company (BLC), an insurance affiliate of BLS. BLS and BLC determined that the client was made aware of possible tax obligations, and was given guidance to seek advice of her tax professional. Additionally, BLS and BLC determined that the terms of the annuity were disclosed to the client, and denied the complaint. BLS reviewed the recommendation to liquidate and based on the client's investment objective and risk tolerance found the recommendation to be in the client's best interest. While the annuity sold to the client was not a security and was issued by BLC, the Firm is reporting this complaint because the source of funding for the annuity came from the sale of securities recommended by a financial representative of the Firm.
Product Type:	Annuity-Fixed Equity Listed (Common & Preferred Stock)
Alleged Damages:	$10,601.00
Alleged Damages Amount Explanation (if amount not exact):	No damages were alleged, therefore we calculated the alleged compensatory damage amount.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received:	10/31/2023
Complaint Pending?	No
Status:	Denied
Status Date:	11/16/2023
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	As part of the planning process that I utilize I disclose any transaction that might trigger a tax consequence. As a financial advisor and CFP I am licensed and certified to recognize that a transaction may have tax implications, but only a tax professional can calculate the taxable amount for a client. Financial advisors of the firm are prohibited from doing so. In this instance the client was informed in advance to contact their tax professional about the tax implications of these transactions. Additionally, in the summary of the plan the client signed specific attention was given to consulting a tax advisor prior to implementation. The portion of the plan involving the taxable transaction was not implemented until sufficient time had elapsed (months) for the client to have those meetings since separation from their employer was necessary to complete the plan's implementation. Additionally, after the client had expressed discontent with the taxation they requested I speak to their tax professional to ensure the numbers our firm provided were accurate. During that conversation the validity of our numbers were confirmed and the transactions were discussed.

End of Report

This page is intentionally left blank.