



IAPD Report

Mark Michael Wallace

CRD# 6393741

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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

Mark Michael Wallace (CRD# 6393741)

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 **06/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	02/20/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	02/20/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	CONCOURSE FINANCIAL GROUP ADVISORS	15708	Colorado Springs, CO	08/03/2015 - 02/20/2025
B	CONCOURSE FINANCIAL GROUP SECURITIES, INC.	15708	Colorado Springs, CO	03/17/2015 - 02/20/2025

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
Criminal	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 **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Firm ID#: 13572

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	02/20/2025
	Alabama	Agent	Approved	02/20/2025
	California	Agent	Approved	02/20/2025
	Colorado	Agent	Approved	02/20/2025
	Idaho	Agent	Approved	02/20/2025
	Missouri	Agent	Approved	02/20/2025
	New York	Agent	Approved	02/20/2025
	North Carolina	Agent	Approved	04/30/2025
	Ohio	Agent	Approved	02/20/2025
	Oklahoma	Agent	Approved	06/25/2025
	Texas	Agent	Approved	02/20/2025
	Utah	Agent	Approved	02/20/2025
	Washington	Agent	Approved	02/20/2025



Qualifications

Branch Office Locations

CETERA ADVISOR NETWORKS LLC

12325 Oracle Blvd.
Suite 121
Colorado Springs, CO 80921

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096
Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	02/20/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	03/28/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC

12325 ORACLE BLVD.
SUITE 121
COLORADO SPRINGS, CO 80921



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 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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	03/16/2015

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	07/31/2015



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	08/03/2015 - 02/20/2025	CONCOURSE FINANCIAL GROUP ADVISORS	CRD# 15708	Colorado Springs, CO
B	03/17/2015 - 02/20/2025	CONCOURSE FINANCIAL GROUP SECURITIES, INC.	CRD# 15708	Colorado Springs, CO

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
02/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
02/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Colorado Springs, CO, United States
08/2015 - Present	True North Ministry	Minister / Teacher	N	Colorado Springs, CO, United States
08/2014 - Present	(dba) RT Course Wealth Management	Investment Adviser	Y	Colorado Springs, CO, United States
08/2014 - 02/2025	Concourse Financial Group Securities Inc	Financial Professional	Y	Colorado Springs, CO, United States
10/2010 - 08/2022	Carpet MD	Owner/Technician	N	Colorado Springs, CO, 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.

(dba) RT COURSE WEALTH MANAGEMENT; Investment Related; 12325 Oracle Blvd, Ste 121, Colorado Springs, CO 80921; Financial Services; Investment Representative; Start Date 08/2014; 20 hours per month; Meet with clients to discuss their investment objectives, plans and goals in order to help them achieve financial success. >> TRUE NORTH MINISTRY; Non-Investment Related; Residence; Other; Minister/Teacher; Start Date 08/2015; 10 hours per month; Teach the bible two times a month, call and/or visit the sick/dying, visit people I know and love in the hospital, perform weddings, funerals, remembrance services; no membership. >> STONE & STEEL LLC; Non-Investment Related; 6810 Buckboard Drive, Falcon, CO 80831; Other; Handyman; Start Date 03/2021; 12 hours per month with no hours, minimum number if necessary, per month during trading hours; Work to bring modular home foundations up to code.



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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	DISTRICT COURT
Name of Court:	STATE OF TEXAS CRIMINAL DISTRICT COURT
Location of Court:	FT WORTH, TARRANT COUNTY, TEXAS, USA
Docket/Case #:	74-03-00439
Charge Date:	01/14/1974
Charge(s) 1 of 1	
Formal Charge(s)/Description:	FORGERY
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	GUILTY
Disposition of charge:	Convicted
Current Status:	Final
Status Date:	01/14/1974
Disposition Date:	04/29/1974
Sentence/Penalty:	FOUND GUILTY BY THE COURT; PLACED ON PROBATION IN LIEU OF 2 YEARS CONFINEMENT WITH THE IMPOSITION OF THE SENTENCE BEING SUSPENDED; PAID COURT COSTS OF \$60 AT THE RATE OF \$10 PER MONTH BEGINNING 5/29/1974 AND TO BE PAID MONTHLY ON THE 29TH OF EACH MONTH UNTIL PAID IN FULL (\$60); PAID A PROBATIONARY FEE IN THE AMOUNT OF \$10 BEGINNING ON 5/29/1974 AND MONTHLY THEREAFTER DURING THE PROBATIONARY PERIOD. THE PROBATION AND THE CONVICTION WERE DISMISSED ON 4/21/1976.

**Broker Statement**

I RAN AWAY FROM HOME AT 16 YEARS OLD (1974) AND MET UNSEEMLY PEOPLE. I WAS WITH A KID WHO TOOK HIS RELATIVES CREDIT CARD AND BOUGHT A BLACK LIGHT WORTH \$13.05. WE WERE BOTH TAKEN IN, I AT GUNPOINT DUE TO MY LONGISH HAIR. AN OFFICIAL OF THE COURT TOLD ME THAT "IF I KEPT MY NOSE CLEAN UNTIL I WAS 18, THIS CHARGE WOULD GO AWAY." I MOVED BACK HOME, FINISHED HIGH SCHOOL, GRADUATED FROM A BIBLE COLLEGE WITH A THEOLOGY DEGREE AND HAVE WORKED FOR MINISTRIES FOR THE PAST 35 YEARS. FYI: AN ATTORNEY LOOKING INTO THIS CASE TOLD ME THAT UNDER THE TEXAS PENAL CODE (1974) SECTION 32.31 THIS NEVER SHOULD HAVE BEEN CLASSIFIED AS A FELONY BUT SHOULD HAVE BEEN A CLASS A MISDEMEANOR UNLESS THE VALUE OF THE PROPERTY WAS \$250 OR MORE (IT WAS \$13.05).



End of Report

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