# IAPD Report

## NATALIA M ZIMNOCH

CRD# 6653881

# 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

User Guidance

www.adviserinfo.sec.gov

# Report Summary

## NATALIA M ZIMNOCH (CRD# 6653881)

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 **03/24/2025**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | LIFEMARK SECURITIES CORP. | CRD# 16204 | 02/02/2022 |
| IA | LIFEMARK SECURITIES CORP. | CRD# 16204 | 02/02/2022 |

## QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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 | MML INVESTORS SERVICES, LLC | 10409 | Copiague, NY | 11/16/2021 - 02/04/2022 |
| B | MML INVESTORS SERVICES, LLC | 10409 | Copiague, NY | 08/02/2018 - 02/04/2022 |

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 |
|---|---|
| Regulatory Event | 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 **6** 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 | Invest. Co and Variable Contracts | Approved | 02/02/2022 |
| B | California | Agent | Approved | 02/02/2022 |
| B | Florida | Agent | Approved | 08/22/2022 |
| B | New Jersey | Agent | Approved | 08/17/2023 |
| B | New York | Agent | Approved | 02/02/2022 |
| IA | New York | Investment Adviser Representative | Approved | 02/02/2022 |
| B | North Carolina | Agent | Approved | 03/13/2023 |
| B | South Carolina | Agent | Approved | 03/27/2025 |

### Branch Office Locations

**LIFEMARK SECURITIES CORP.**
1909 Great Neck Road, Ste 200
Copiague, NY 11726

 

User Guidance

www.adviserinfo.sec.gov

# 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 |
|---|---|---|---|
| | No information reported. | | |

### General Industry/Product Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| B | Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 08/02/2018 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 11/15/2021 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 10/17/2018 |

## 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 | 11/16/2021 - 02/04/2022 | MML INVESTORS SERVICES, LLC | CRD# 10409 | Copiague, NY |
| B | 08/02/2018 - 02/04/2022 | MML INVESTORS SERVICES, LLC | CRD# 10409 | Copiague, NY |

### 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 |
|---|---|---|---|---|
| 11/2023 - Present | MARCONIVILLE INDUSTRIES | OWNER, PASSIVE INVESTOR | N | COPIAGUE, NY, United States |
| 02/2022 - Present | CRYPTO CONSULTANTS | CONSULTANT | N | COPIAGUE, NY, United States |
| 02/2022 - Present | LIFEMARK SECURITIES CORP. | REGISTERED REPRESENTATIVE, INVESTMENT ADVISOR REPRESENTATIVE | Y | ROCHESTER, NY, United States |
| 01/2019 - Present | Z EQUITIES PARTNERSHIP | TREASURER, SECRETARY | N | COPIAGUE, NY, United States |
| 03/2018 - Present | Zimnoch Financial Group | OWNER, INDEPENDENT INSURANCE AGENT | Y | Copiague, NY, United States |
| 05/2012 - Present | DJ Nat | Disc Jockey; Self-employed | N | Dix Hills, NY, United States |
| 05/2007 - Present | Expres Travel | ASSISTANT | N | Copiague, NY, United States |
| 05/2018 - 01/2022 | MML Investors Services, LLC | Registered Representative | Y | Copiague, NY, United States |
| 06/2014 - 01/2022 | Mass Mutual Life Insurance Co | Agent | Y | Copiague, NY, United States |
| 06/2016 - 12/2017 | MML Investors Services, LLC | Registered Representative | Y | Syosset, NY, United States |

# Registration & Employment History

## 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.

USING ZIMNOCH FINANCIAL GROUP FOR LIFEMARK SECURITIES BUSINESS.
(1) ZIMNOCH FINANCIAL GROUP / INVESTMENT RELATED / 1909 GREAT NECK RD, SUITE 200, COPIAGUE, NY 11726 / OWNER, INDEPENDENT INSURANCE AGENT /START 3/1/2018 / 65 HOURS/MONTH / 40 HOURS/MONTH DURING TRADING HOURS / SALES AND SERVICE OF LIFE, HEALTH, MEDICARE, MEDICAL & FIXED ANNUITIES PRODUCTS.
(2) DJ NAT / NOT INVESTMENT RELATED / 1909 GREAT NECK RD, SUITE 200, COPIAGUE, NY 11726 / DISC JOCKEY / START 2012 / 1 HOUR/MONTH / 0 HOURS/MONTH DURING TRADING HOURS / DJ AT PRIVATE EVENTS.
(3) EXPRES TRAVEL / NOT INVESTMENT RELATED / 1909 GREAT NECK RD, COPIAGUE, NY 11726 / ASSISTANT / START 2007 / 1 HOUR/MONTH / .5 HOURS/MONTH DURING TRADING HOURS / UNPAID ASSISTANT AT FAMILY-OWNED TRAVEL AGENCY. EXPRES TRAVEL ALSO PROVIES WESTERN UNION TRANSFER SERVICES.
(4) CRYPTO CONSULTANTS / NOT INVESTMENT RELATED / 1909 GREAT NECK RD, SUITE 200, COPIAGUE, NY 11726 / CONSULTANT / START 02/2022 / CRYPTOCURRENCY CONSULTING THAT IS EDUCATIONAL ONLY.
(5) Z EQUITIES / NOT INVESTMENT RELATED / 1909 GREAT NECK RD, COPIAGUE, NY 11726 / TREASURER AND SECRETARY/ START 01/2019 /1% PARTNERSHIP/SHAREHOLDER IN FAMILY REAL ESTATE PARTNERSHIP. TREASURER POSITION INCLUDES WRITING CHECKS ONLY, NO INVESTMENT AUTHORITY.
(6) MARCONIVILLE INDUSTRIES / NOT INVESTMENT RELATED / 1909 GREAT NECK RD, COPIAGUE, NY 11726 / OWNER, PASSIVE INVESTOR / START 11/2023 / 1 HOUR/MONTH / 0 HOURS/MONTH DURING TRADING HOURS / PASSIVE INVESTOR.

# 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 |
|---|---|
| Regulatory Event | 1 |

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Regulatory Action Initiated By:** | NY State Department of Financial Services |
| **Sanction(s) Sought:** | Reprimand |
| **Date Initiated:** | 11/07/2013 |
| **Docket/Case Number:** | CSB-2013-1024627 |
| **Employing firm when activity occurred which led to the regulatory action:** | AFLAC- Medford, NY |
| **Product Type:** | Insurance |
| **Allegations:** | Allegations of Bogus Business/ Forgery |
| **Current Status:** | Final |
| **Resolution:** | Stipulation and Consent |
| **Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** | Yes |
| **Resolution Date:** | 05/07/2015 |
| **Sanctions Ordered:** | Letter of Reprimand |

**Monetary Sanction 1 of 1**

| | |
|---|---|
| **Monetary Related Sanction:** | Monetary Penalty other than Fines |

| | |
|---|---|
| **Total Amount:** | $2,500.00 |
| **Portion Levied against individual:** | $2,500.00 |
| **Payment Plan:** | |
| **Is Payment Plan Current:** | No |
| **Date Paid by individual:** | 04/08/2015 |
| **Was any portion of penalty waived?** | No |
| **Amount Waived:** | |
| **Broker Statement** | Please see additional documentation for more details. Short summary below.<br>Aflac was my first job in the insurance industry and was very short lived. I never considered it a 'career'. At the time I was informed of the "complaint" that the consumer's wife had made to Aflac almost half a year prior, I was no longer doing business with Aflac. At that time, I had moved on and was beginning my career in the Health, Life, Disability, and Long Term Care Insurance market. I found that they were much more relevant and gave me the opportunity to make a real difference the lives of others, and build a client base. This was something that I was unable to do in while working at Aflac.<br>Likewise, Petrol Werks was one of my first and only accounts ever set up during my brief experience at Aflac. Upon learning for the first time about the consumer complaint (4.5 months after it had been made), I received a phone call from two SIU investigators who told me that I had to meet with them that same day. I was also shocked to hear that the matter had not been resolved, since Aflac had informed me via email that the group account was terminated a week after the consumer's wife and I had met and she had requested that the account be terminated and after I had taken all of the steps in my power to close the account.<br>Looking back on my brief experience at Aflac to where I am now, I have grown my practice significantly and have over 400 health and Medicare insurance clients, and close to 100 life insurance, disability, and planning clients. My practice is built very heavily on referrals and word of mouth. I believe in always doing what is best for my clients, and I believe that the level of growth I have experienced within a 3.5-year time frame after moving on from Aflac proves that. I believe that becoming a registered representative will allow me to continue to do the good work I am already doing for clients, and will take my practice to its full potential. |

 

# End of Report

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