IAPD Report

Mark James Bloom

CRD# 6933619

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 James Bloom (CRD# 6933619)

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 **04/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	AVANTAX ADVISORY SERVICES	104556	Atlanta, GA	03/29/2021 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Atlanta, GA	03/26/2021 - 09/05/2025
B	LPL FINANCIAL LLC	6413	ATLANTA, GA	06/10/2020 - 06/03/2021

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	2

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 **23** 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
B	FINRA	General Securities Representative	Approved	09/05/2025
B	Alabama	Agent	Approved	09/05/2025
B	Arizona	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Connecticut	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	09/05/2025
B	Illinois	Agent	Approved	09/05/2025
B	Indiana	Agent	Approved	09/05/2025
B	Louisiana	Agent	Approved	09/05/2025
B	Maine	Agent	Approved	09/05/2025
B	Nevada	Agent	Approved	09/05/2025

Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	09/05/2025
B	North Carolina	Agent	Approved	09/05/2025
B	Ohio	Agent	Approved	09/19/2025
B	Oregon	Agent	Approved	09/05/2025
B	Pennsylvania	Agent	Approved	09/05/2025
B	Rhode Island	Agent	Approved	09/05/2025
B	South Carolina	Agent	Approved	09/05/2025
B	Tennessee	Agent	Approved	02/17/2026
B	Texas	Agent	Approved	09/05/2025
B	West Virginia	Agent	Approved	09/05/2025
B	Wisconsin	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
4401 Northside Pkwy NW
Suite 900
Atlanta, GA 30327

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	Georgia	Investment Adviser Representative	Approved	09/05/2025

Qualifications

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
4401 NORTHSIDE PKWY NW
SUITE 900
ATLANTA, GA 30327

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
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	05/23/2018

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	06/14/2018

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	03/29/2021 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Atlanta, GA
B	03/26/2021 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Atlanta, GA
B	06/10/2020 - 06/03/2021	LPL FINANCIAL LLC	CRD# 6413	ATLANTA, GA
IA	06/11/2020 - 06/01/2021	IFG ADVISORY, LLC	CRD# 168012	Atlanta, GA
IA	06/19/2018 - 06/11/2020	EDWARD JONES	CRD# 250	ATLANTA, GA
B	05/23/2018 - 06/11/2020	EDWARD JONES	CRD# 250	ATLANTA, GA

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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Atlanta, GA, United States
03/2021 - Present	Georgia Alliance Football Club	Technical Director	Y	Marietta, GA, United States
06/2020 - Present	Legacy Capital Advisors, LLC	Wealth Manager	Y	atlanta, GA, United States
06/2020 - Present	Legacy Capital Advisors, LLC	Wealth Manager	Y	atlanta, GA, United States
03/2021 - 09/2025	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	ATLANTA, GA, United States
03/2021 - 09/2025	AVANTAX INSURANCE AGENCY, LLC.	INSURANCE AGENT	Y	ATLANTA, GA, United States
03/2021 - 09/2025	AVANTAX INVESTMENT SERVICES INC.	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, United States
06/2020 - 08/2025	Resurgens Investments, LLC	Wealth Manager	Y	Atlanta, GA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2020 - 08/2025	Resurgens Investments, LLC	Wealth Manager	Y	Atlanta, GA, United States
06/2020 - 03/2021	IFG Advisory, LLC	Investment Adviser Representative	Y	Atlanta, GA, United States
06/2020 - 03/2021	LPL Financial LLC	Registered Repsentative	Y	Atlanta, GA, United States
04/2018 - 06/2020	Edward Jones	Financial Advisor	Y	St Louis, MO, United States
01/2018 - 03/2018	Unemployed	N/A	N	Atlanta, GA, United States
01/2017 - 12/2017	Atlanta United Football Club	Professional Soccer Player	N	Atlanta, GA, United States
07/2013 - 12/2016	Toronto Football Club	Professional Soccer Player	N	Toronto, Canada

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) GEORGIA SOCCER
POSITION: Independent Director NATURE: I'm on the Board of Directors as a volunteer for Georgia soccer. They oversee youth soccer in Georgia. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2019 ADDRESS: 2323 Perimeter Park Dr. NE, Atlanta GA 30341, United States
DESCRIPTION: We meet once a month after hours to make decisions on the direction of Georgia Soccer. I attend the board meeting once a month, I vote on matters related to the organization, and I provide input and advice on current and proposed initiatives.

2) ATLANTA YOUTH ORGANIZATION
POSITION: Co-founder NATURE: This non-profit organization was founded to help provide access to youth sports for kids. We do this by providing funding and equipment to various schools and organizations. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 12/01/2024
ADDRESS: 2195 Monterey Dr NW, Atlanta, GA 30318, United States
DESCRIPTION: I participate in weekly board meetings to discuss the direction of the organization.

3) LEGACY CAPITAL ADVISORS, LLC
POSITION: Wealth Manager NATURE: Wealth Management- advising clients, investing, and financial planning. Legacy Capital Advisors, LLC is a DBA only for Resurgens. INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 06/10/2020
ADDRESS: 4401 Northside Pkwy, suite 900, STE 900, atlanta GA 30327, United States
DESCRIPTION: Wealth manager responsible for all facets of client engagement, including: financial planning, investment management, determining the right type and amounts of insurance for the client's needs, and helping project retirement income.

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*.
    - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - o 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*.
    - o 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.
    - o 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.
    - o 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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AVANTAX INVESTMENT SERVICES, INC.
Allegations:	Customer alleged the investments they purchased were not suitable.
Product Type:	Other: Structured Notes
Alleged Damages:	$160,000.00
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 #:	24-01086
Filing date of arbitration/CFTC reparation or civil litigation:	05/17/2024

Customer Complaint Information

Date Complaint Received:	05/20/2024
Complaint Pending?	No
Status:	Settled

Status Date:	12/11/2024
Settlement Amount:	$100,000.00
Individual Contribution Amount:	$0.00
Broker Statement	The matter was settled without any admission of liability or wrongdoing to avoid costs, distractions, and uncertainties associated with proceeding to a formal hearing.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AVANTAX INVESTMENT SERVICES, INC.
Allegations:	Customer alleged he incurred a loss despite market conditions being relatively stable.
Product Type:	Other: Structured Notes
Alleged Damages:	$100,000.00
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:	02/16/2024
Complaint Pending?	No
Status:	Settled
Status Date:	03/19/2024
Settlement Amount:	$45,000.00
Individual Contribution Amount:	$0.00
Broker Statement	The matter was settled without any admission of liability or wrongdoing to avoid costs, distractions, and uncertainties of an arbitration proceeding.

End of Report

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