



## IAPD Report

### MARK KIM GASKILL

CRD# 848103

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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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 KIM GASKILL (CRD# 848103)

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 **01/08/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MKG FINANCIAL GROUP, INC.	CRD# 104214	01/07/2014

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	MKG FINANCIAL GROUP, INC.	104214	PORTLAND, OR	12/07/2000 - 07/15/2016
IA	MKG CAPITAL ADVISORS	104214	PORTLAND, OR	02/15/2008 - 12/31/2013
IA	MKG CAPITAL ADVISORS	130696	PORTLAND, OR	02/10/2006 - 06/29/2007

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
Criminal	1
Customer Dispute	2
Termination	1
Financial	1
Judgment/Lien	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **MKG FINANCIAL GROUP, INC.**

Main Address: 205 SE SPOKANE STREET  
SUITE 300  
PORTLAND, OR 97202-6487

Firm ID#: 104214

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	01/31/2014

#### Branch Office Locations

##### **MKG FINANCIAL GROUP, INC.**

205 SE SPOKANE STREET  
SUITE 300  
PORTLAND, OR 97202-6487



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	06/26/2000

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	07/15/2016
 General Securities Representative Examination (S7)	Series 7	01/21/1978

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/14/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/25/1980

### 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
	12/07/2000 - 07/15/2016	MKG FINANCIAL GROUP, INC.	CRD# 104214	PORTLAND, OR
	02/15/2008 - 12/31/2013	MKG CAPITAL ADVISORS	CRD# 104214	PORTLAND, OR
	02/10/2006 - 06/29/2007	MKG CAPITAL ADVISORS	CRD# 130696	PORTLAND, OR
	06/01/2004 - 12/31/2005	MKG CAPITAL ADVISORS LTD.	CRD# 130696	PORTLAND, OR
	03/13/1996 - 01/12/2001	FIRST SECURITIES NORTHWEST, INC.	CRD# 14627	MILWAUKIE, OR
	06/06/1992 - 01/29/1996	PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
	12/12/1985 - 06/05/1992	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
	07/11/1985 - 12/12/1985	KMS FINANCIAL SERVICES, INC.	CRD# 3866	
	03/26/1979 - 06/03/1985	E. F. HUTTON & COMPANY INC	CRD# 235	
	08/14/1978 - 04/09/1979	FOSTER & MARSHALL INC.	CRD# 321	
	01/27/1978 - 09/01/1978	BLYTH EASTMAN DILLON & CO. INCORPORATED	CRD# 6361	

### 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
03/1999 - Present	MKG FINANCIAL GROUP, INC	PRESIDENT	Y	PORTLAND, OR, 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.

MKG Productions, a non-investment related entity, is registered as a DBA with the State of Oregon that is owned, controlled and under the name of Mark K. Gaskill. The entity is used as Mr. Gaskill's personal DBA when entering into relationships with media outlets. Mr. Gaskill currently devotes approximately one hour per week as MKG Productions working with media outlets.



## 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
Criminal	1
Customer Dispute	2
Termination	1
Financial	1
Judgment/Lien	2

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	02/16/2016
<b>Docket/Case Number:</b>	<a href="#">201504333201</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	MKG Financial Group, Inc.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Without admitting or denying the findings, Gaskill consented to the sanctions and to the entry of findings that he willfully failed to timely amend his Form U4 to disclose three federal tax liens and two state tax liens.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

**Resolution Date:** 02/16/2016

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

Other: The settlement includes a finding that Gaskill willfully failed to disclose a material fact on a Form U4, and that under section 3(a)(39)(f) of the Securities Exchange Act of 1934 and Article III, Section 4 of the FINRA By-Laws, this omission makes him subject to a statutory disqualification with respect to association with a member.

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**



**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

**Sanction Type:** Suspension  
**Capacities Affected:** any capacity  
**Duration:** three months  
**Start Date:** 03/21/2016  
**End Date:** 06/20/2016

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00

**Payment Plan:** deferred

**Is Payment Plan Current:**

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

.....

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** Financial Industry Regulatory Authority  
**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension  
**Date Initiated:** 02/16/2016  
**Docket/Case Number:** [201504333201](#)



<b>Employing firm when activity occurred which led to the regulatory action:</b>	MKG Financial Group, Inc.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Mr. Gaskill failed to timely disclose three federal tax liens and two state tax liens that arose between November 2009 and December 2012.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	02/16/2016
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension Other: Statutory Disqualification with respect to associating with a FINRA member firm.
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	All Capacities
<b>Duration:</b>	Three Months
<b>Start Date:</b>	03/21/2016
<b>End Date:</b>	06/20/2016
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	Amount is due and payable upon reassociation with a member firm following the three month suspension.
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Broker Statement</b>	Mr. Gaskill regrets and apologizes for the oversight of not timely disclosing unsatisfied liens that arose during a difficult period in the market. Mr. Gaskill disclosed the liens immediately upon realizing the error in not filing.



## 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

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	CIRCUIT COURT McMINTNVILLE OREGON OR 036015-J
<b>Charge Date:</b>	02/09/1987
<b>Charge Details:</b>	DRIVING WHILE SUSPENDED/REVOKEKD
<b>Felony?</b>	Yes
<b>Current Status:</b>	Final
<b>Status Date:</b>	03/06/1987
<b>Disposition Details:</b>	FELONY CHARGE DISMISSED. CONVICTED OF CLASS C MISDEMEANOR FOR FAILURE TO CARRY PRESENT OPERATIONS LICENSE DUE TO EXTENUATING CIRCUMSTANCES. \$200.00 FINE PAID.
<b>Broker Statement</b>	WAS DRIVING WITH APPROPRIATE CAUSE WITHOUT APPROPRIATE LICENSE AT TIME. TICKETED WITH EXPLANATION PROVIDED TO COURT BY OFFICER INVOLVED; DISMISSAL BY COURT RESULTED.



## 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:** MKG FINANCIAL GROUP, INC.  
**Allegations:** CLAIMANT ALLEGED THAT THE ADVISOR AND THE ADVISORY AFFILIATE (COLLECTIVELY, "MKG"), DID NOT INVEST CLAIMANT'S ACCOUNTS IN ACCORDANCE WITH CLAIMANT'S STATED GOALS AND OBJECTIVES. CLAIMANT ALLEGES DAMAGES DURING THE PERIOD JANUARY 2008 TO JANUARY 2009 ARISING FROM MKG'S I) BREACH OF CONTRACT, II) BREACH OF FIDUCIARY DUTY, III) NEGLIGENCE AND IV) NEGLIGENT MISREPRESENTATION.

**Product Type:** Debt-Corporate  
Debt-Municipal  
Equity-OTC  
Equity Listed (Common & Preferred Stock)  
Money Market Fund  
Mutual Fund

**Alleged Damages:** \$1,200,000.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** ARBITRATION SERVICE OF PORTLAND

**Docket/Case #:** ASP NO. 110622-2

**Date Notice/Process Served:** 06/22/2011

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 12/20/2012

**Monetary Compensation Amount:** \$36,485.69

**Individual Contribution Amount:** \$0.00

**Broker Statement** THE ARBITRATOR CONCLUDED THAT THE LOSSES IN ALL BUT ONE OF THE CLAIMANTS' ACCOUNTS WERE CAUSED BY THE CLAIMANT'S ([CUSTOMER] REFERRED TO AS CLAIMANT IN ITEM 4) DEMANDS TO LIQUIDATE SIGNIFICANT MUTUAL FUND AND ANNUITY HOLDINGS, THAT HAD NOT BEEN PURCHASED BY MKG FINANCIAL GROUP, INC. ("MKG") , AFTER THE STOCK MARKET CRASH OF 2008. IN ADDITION, THE CLAIMANT CONTINUED TO HOLD ALL INVESTMENTS MADE ON BEHALF OF CLAIMANTS BY MKG EVEN AFTER THE CLAIMANT TRANSFERRED THE ACCOUNTS TO ANOTHER INVESTMENT FIRM, AND THE CLAIMANTS



SIGNIFICANTLY BENEFITED FROM THESE INVESTMENTS THAT WERE LIQUIDATED OVER A TWO-YEAR PERIOD.

IN SETTLEMENT, THE ARBITRATOR AWARDED ONE OF THE CLAIMANTS' ACCOUNTS, A COMPANY RETIREMENT PLAN ("PLAN"), \$24,350 PLUS INTEREST AND AN ARBITRATION FILING FEE OF \$3,820. THE ARBITRATOR BELIEVED "THAT THE APPROPRIATE ALLOCATION OF EQUITIES TO INCOME SHOULD HAVE BEEN 30/70%" AND HE WAS "CRITICAL OF PURCHASING INDIVIDUAL STOCKS IN AN EMPLOYEE RETIREMENT ACCOUNT?WITHOUT A DETERMINATION...OF WHAT THE INVESTMENT OBJECTIVES AND RISK TOLERANCE ARE FOR EACH OF THE INDIVIDUAL EMPLOYEES".

MKG DISAGREES WITH THE FINDINGS OF THE ARBITRATOR BECAUSE THE EMPLOYER, ONE OF THE CLAIMANTS, WAS THE PLAN ADMINISTRATOR AND TRUSTEE OF THE PLAN AND DIRECTED THE INVESTMENT ACTIVITY OF THE PLAN IN THE SAME MANNER AS IN ALL OF THE OTHER ACCOUNTS NAMED IN THE DISPUTE. IN ADDITION, THE EMPLOYER WAS THE LARGEST PARTICIPANT IN THE PLAN, WHICH WAS A SINGLE "POOLED" ACCOUNT, AND THE ADVISOR DID NOT REPORT TO OR HAVE ACCESS TO ANY OF THE COMPANY'S OTHER EMPLOYEES. IT IS ALSO VERY COMMON TO FIND INDIVIDUAL STOCKS IN RETIREMENT PLANS. HOWEVER, GIVEN THE OUTCOME OF THE SETTLEMENT AND THE COST TO FURTHER DISPUTE THE FINDINGS OF THE ARBITRATOR, MKG CHOSE NOT TO TAKE FURTHER ACTION AND PAID THE AWARD AS DIRECTED BY THE ARBITRATOR.

## Disclosure 2 of 2

**Reporting Source:**

Firm

**Employing firm when activities occurred which led to the complaint:**

PIPER JAFFRAY INC.

**Allegations:**

ALLEGES UNAUTHORIZED TRADING AND UNSUITABILITY. DAMAGES SOUGHT: UNSPECIFIED

**Product Type:**

**Alleged Damages:** \$160,000.00

## Customer Complaint Information

**Date Complaint Received:** 10/08/1996

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$20,000.00

**Individual Contribution Amount:**

**Firm Statement** [CUSTOMER] WAS PAID \$20,000.00 FOR RELEASE OF ALL CLAIMS.  
NOT PROVIDED

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:**

PIPER JAFFRAY INC.

**Allegations:** ALLEGES UNAUTHORIZED TRADING AND UNSUITABILITY; DAMAGES SOUGHT:\$160,000.00

**Product Type:** Equity - OTC

**Alleged Damages:** \$160,000.00

### **Customer Complaint Information**

**Date Complaint Received:** 10/08/1996

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/29/1996

**Settlement Amount:** \$20,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** PIPER JAFFRAY INC. PAID [CUSTOMER] \$20,000 FOR RELEASE OF ALL CLAIMS. THIS WAS A CONTINUATION OF CLAIM FILED SIMULTANEOUS WITH CLAIM FILED AGAINST SHEARSON LEHMAN BROS. AUTHORITIES SATISFIED THAT NO UNAUTHORIZED TRADES TOOK PLACE. CLIENT AND FC HAD LONG-TERM RELATIONSHIP.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### **Disclosure 1 of 1**

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	PIPER JAFFRAY INC.
<b>Termination Type:</b>	Permitted to Resign
<b>Termination Date:</b>	01/25/1996
<b>Allegations:</b>	UNAUTHORIZED TRADE
<b>Product Type:</b>	Equity - OTC
<b>Other Product Types:</b>	
<b>Broker Statement</b>	NONE. THERE WAS NO WRITTEN COMPLAINT AND NO ACTION REGARDING THE TRADE TAKEN BY THE CLIENT OR FIRM.



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 1

**Reporting Source:** Individual

**Action Type:** Compromise

**Action Date:** 06/18/2020

**Organization Investment-Related?**

**Action Pending?** No

**Disposition:** Satisfied/Released

**Disposition Date:** 06/30/2020

**If a compromise with creditor, provide:**

**Name of Creditor:** MILLER NASH LLP

**Original Amount Owed:** \$76,949.40

**Terms Reached with Creditor:** MILLER NASH LLP CONTACTED MARK GASKILL AND OFFERED TO HAVE THE TOTAL OUTSTANDING BALANCE SATISFIED WITH A \$20,000 PAYMENT, WHICH WAS SUBSEQUENTLY PAID BY THE 06/30/2020 DEADLINE.

**Broker Statement** THIS IS A FAIRLY COMMON PROCEDURE WITH LAW FIRMS AS THEY MOVE TOWARDS THE END OF A QUARTER AS A WAY OF INCREASING THEIR RECEIVABLES.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 2

**Reporting Source:** Individual  
**Judgment/Lien Holder:** DEPARTMENT OF THE TREASURY INTERNAL REVENUE SERVICE  
**Judgment/Lien Amount:** \$8,760.77  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 09/13/2019  
**Date Individual Learned:** 03/05/2022  
**Type of Court:** RECORDING SECTION  
**Name of Court:** MULTNOMAH COUNTY  
**Location of Court:** MULTNOMAH COUNTY, OR  
**Docket/Case #:** 2019096684  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** THE LIEN IS THE RESULT OF MR. GASKILL'S INABILITY TO PAY HIS 2016 PERSONAL INCOME TAX LIABILITY.

### Disclosure 2 of 2

**Reporting Source:** Individual  
**Judgment/Lien Holder:** KBNP RADIO, INC.  
**Judgment/Lien Amount:** \$18,337.25  
**Judgment/Lien Type:** Civil  
**Date Filed with Court:** 01/24/2014  
**Date Individual Learned:** 01/24/2014  
**Type of Court:** State Court  
**Name of Court:** CIRCUIT COURT  
**Location of Court:** MULTNOMAH COUNTY, OREGON  
**Docket/Case #:** 131115954  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** THE JUDGEMENT WAS AGAINST MKG PRODUCTIONS, A DBA OF MR. GASKILL. SINCE MKG FINANCIAL GROUP, INC. WAS NOT INVOLVED IN THE MATTER, MR. GASKILL DID NOT REALIZE IT WAS A REPORTABLE EVENT WHEN HE LEARNED ABOUT IT.



## End of Report

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