

BrokerCheck Report

CLARK SECURITIES, INC.

CRD# 43803

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Registration and Withdrawal	2
Firm Profile	3 - 7
Firm History	8
Firm Operations	9 - 15



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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**CLARK SECURITIES, INC.**

CRD# 43803

SEC# 8-50445

Main Office Location

706 GREEN VALLEY RD
SUITE 500
GREENSBORO, NC 27408

Mailing Address

706 GREEN VALLEY RD
SUITE 500
GREENSBORO, NC 27408

Business Telephone Number

3363332050

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in California on 03/01/1990.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.



Date firm ceased business: 12/31/2016

Does this brokerage firm owe any money or securities to any customer or brokerage firm? No



Firm Profile

This firm is classified as a corporation.
This firm was formed in California on 03/01/1990.
Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

CLARK SECURITIES, INC.
Doing business as CLARK SECURITIES, INC.
CRD# 43803
SEC# 8-50445

Main Office Location
706 GREEN VALLEY RD
SUITE 500
GREENSBORO, NC 27408

Mailing Address
706 GREEN VALLEY RD
SUITE 500
GREENSBORO, NC 27408

Business Telephone Number
3363332050

Other Names of this Firm

Name	Where is it used
CCFS, INC.	TX



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	AUSA DISTRIBUTION CORP
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	07/2015
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	FEHR, STEPHEN J 5780742
Is this a domestic or foreign entity or an individual?	Individual
Position	TREASURER, FINOP
Position Start Date	09/2015
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	LANING, KURT JAMES 2570310
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR/PRESIDENT
Position Start Date	02/2007

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
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Legal Name & CRD# (if any):	SZEKELY, GIGI KLARA 2530826
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	07/2016
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
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Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	NEWPORT GROUP HOLDINGS I, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	AUSA DISRTIBUTION CORP
Relationship to Direct Owner	OWNER
Relationship Established	08/2015
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	NEWPORT GROUP HOLDINGS, L.P.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	NEWPORT GROUP HOLDINGS I, INC.
Relationship to Direct Owner	OWNER
Relationship Established	08/2013
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	TRIDENT V PARALLEL FUND, L.P.
Is this a domestic or foreign entity or an individual?	Foreign Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established NEWPORT GROUP HOLDINGS, L.P.

Relationship to Direct Owner OWNER

Relationship Established 08/2013

Percentage of Ownership 25% but less than 50%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): TRIDENT V, L.P.

Is this a domestic or foreign entity or an individual? Foreign Entity

Company through which indirect ownership is established NEWPORT GROUP HOLDINGS, L.P.

Relationship to Direct Owner OWNER

Relationship Established 08/2013

Percentage of Ownership 25% but less than 50%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.



Firm Operations



Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 06/09/1998 to 02/13/2017.

Firm Operations



Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 2 types of businesses.

Types of Business

Mutual fund retailer
Broker or dealer selling variable life insurance or annuities

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name:	SMARSH
Business Address:	851 SW 6TH AVE SUITE 800 PORTLAND, OR 97204
Effective Date:	04/01/2014
Description:	SMARSH PROVIDES DIGITAL ARCHIVING AND ELECTRONIC RECORDS MANAGEMENT TO THE APPLICANT.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

INTERSERV, LLC is under common control with the firm.

CRD #:	140944
Business Address:	307 UNIVERSITY BLVD. NORTH BLDG 3, SUITE 2900 MOBILE, AL 36688
Effective Date:	12/01/2014
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	INTERSERV, LLC AND CLARK SECURITIES, INC. ARE UNDER COMMON OWNERSHIP BY NEWPORT GROUP HOLDINGS I, INC.

THE NEWPORT GROUP, INC. is under common control with the firm.

Business Address:	300 INTERNATIONAL PARKWAY SUITE 270 HEATHROW, FL 32746
Effective Date:	12/01/2014
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	No
Description:	THE NEWPORT GROUP, INC. IS AN AFFILIATE OF AND UNDER COMMON CONTROL WITH APPLICANT AS BOTH ARE CONTROLLED BY NEWPORT

Firm Operations



Organization Affiliates (continued)

GROUP HOLDINGS I, INC.

NEWPORT GROUP, INC. is under common control with the firm.

Business Address: 1350 TREAT BLVD
SUITE 300
WALNUT CREEK, CA 94597

Effective Date: 12/01/2014

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: NEWPORT GROUP, INC. IS AN AFFILIATE OF AND UNDER COMMON CONTROL WITH APPLICANT AS BOTH ARE CONTROLLED BY NEWPORT GROUP HOLDINGS I, INC. NEWPORT GROUP, INC. HAS 100% OWNERSHIP OF INTERSERV, LLC, AN SEC-REGISTERED INVESTMENT ADVISOR.

NEWPORT GROUP SECURITIES, INC. is under common control with the firm.

CRD #: 29722

Business Address: 300 INTERNATIONAL PARKWAY
SUITE 270
HEATHROW, FL 32746

Effective Date: 03/09/2007

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: NEWPORT GROUP SECURITIES, INC. IS AN AFFILIATE OF AD UNDER COMMON CONTROL WITH APPLICANT AS BOTH ARE CONTROLLED BY NEWPORT GROUP HOLDINGS I, INC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank

Firm Operations



Organization Affiliates (continued)

- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



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