

BrokerCheck Report

MARK THOMAS EALY

CRD# 2081239

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7



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.

**MARK T. EALY**

CRD# 2081239

Currently employed by and registered with the following Firm(s):

IA INDEPENDENT FINANCIAL GROUP, LLC
 2035 CORTE DEL NOGAL
 STE. 150
 CARLSBAD, CA 92011
 CRD# 7717
 Registered with this firm since: 06/02/2009

B INDEPENDENT FINANCIAL GROUP, LLC
 2035 CORTE DEL NOGAL
 STE. 150
 CARLSBAD, CA 92011
 CRD# 7717
 Registered with this firm since: 06/02/2009

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 20 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):**

- IA WOODBURY FINANCIAL SERVICES, INC.**
 CRD# 421
 OAKDALE, MN
 11/2004 - 06/2009
- B WOODBURY FINANCIAL SERVICES, INC.**
 CRD# 421
 CARLSBAD, CA
 10/2003 - 06/2009
- B EDWARD JONES**
 CRD# 250
 ST. LOUIS, MO
 07/2002 - 08/2003

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 20 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **INDEPENDENT FINANCIAL GROUP, LLC**

Main Office Address: **12671 HIGH BLUFF DRIVE
SUITE 200
SAN DIEGO, CA 92130**

Firm CRD#: **7717**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/02/2009
B	FINRA	Invest. Co and Variable Contracts	Approved	06/02/2009

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	11/03/2023
B	Arizona	Agent	Approved	06/02/2009
B	California	Agent	Approved	06/02/2009
IA	California	Investment Adviser Representative	Approved	06/03/2009
B	Colorado	Agent	Approved	01/22/2019
B	Florida	Agent	Approved	05/19/2023
B	Idaho	Agent	Approved	06/20/2024
B	Illinois	Agent	Approved	02/15/2018
B	Maryland	Agent	Approved	07/25/2017
B	Michigan	Agent	Approved	06/02/2009
B	Missouri	Agent	Approved	01/27/2021



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Montana	Agent	Approved	05/20/2024
B	Ohio	Agent	Approved	05/13/2019
B	Oregon	Agent	Approved	09/15/2015
B	Pennsylvania	Agent	Approved	05/31/2023
B	South Carolina	Agent	Approved	02/02/2016
B	Tennessee	Agent	Approved	08/11/2021
B	Texas	Agent	Approved	11/21/2014
IA	Texas	Investment Adviser Representative	Approved	09/25/2018
B	Utah	Agent	Approved	07/09/2019
B	Virginia	Agent	Approved	01/18/2018
B	Washington	Agent	Approved	10/02/2023

Branch Office Locations

INDEPENDENT FINANCIAL GROUP, LLC

2035 CORTE DEL NOGAL
STE. 150
CARLSBAD, CA 92011



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 4 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 Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	06/03/2002
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/06/1990

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/18/2004
B Uniform Securities Agent State Law Examination	Series 63	06/06/2002

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 11/2004 - 06/2009	WOODBURY FINANCIAL SERVICES, INC.	421	CARLSBAD, CA
B 10/2003 - 06/2009	WOODBURY FINANCIAL SERVICES, INC.	421	CARLSBAD, CA
B 07/2002 - 08/2003	EDWARD JONES	250	ST. LOUIS, MO
B 08/1990 - 01/1991	EQUICO SECURITIES, INC.	6627	
B 08/1990 - 01/1991	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
06/2009 - Present	INDEPENDENT FINANCIAL GROUP	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) SOLUTIONS FOR CHANGE

POSITION: Volunteer NATURE: Board Member or Officer (Profit or Non-Profit) INVESTMENT RELATED: No NUMBER OF HOURS: 2

SECURITIES TRADING HOURS: 0 START DATE: 10/01/2019

ADDRESS: 722 W. California Ave., Vista CA 92083, United States

DESCRIPTION: MEMBER OF BOARD OF DIRECTORS FOR SOLUTIONS FOR CHANGE, A NON-PROFIT PROVIDING SOLUTIONS FOR HOMELESSNESS

(2) RENTAL PROPERTY

POSITION: Owner NATURE: Other: INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE:

Registration and Employment History



Other Business Activities, continued

01/01/1993

ADDRESS: 2928 Rancho Brasado, Carlsbad CA 92009, United States

DESCRIPTION: 100% OWNER OF RENTAL PROPERTIES

(3) WEALTH MANAGEMENT GROUP

POSITION: Officer/Director NATURE: DBA Name for Marketing Purposes Only INVESTMENT RELATED: Yes NUMBER OF HOURS: 160

SECURITIES TRADING HOURS: 160 START DATE: 01/01/2003

ADDRESS: 2035 Corte Del Nogal, Suite 150, Carlsbad CA 92011, United States

DESCRIPTION: 100% OWNER OF DBA USED FOR MARKETING PURPOSES

End of Report



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