

## BrokerCheck Report

**DALE ANTHONY MARES**

CRD# 2721150

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**DALE A. MARES**

CRD# 2721150

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

- B ALLSTATE FINANCIAL SERVICES, LLC**  
 208 W Main St  
 Azle, TX 76020-3120  
 CRD# 18272  
 Registered with this firm since: 08/13/2003

## 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
- 1 U.S. state or territory

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

### Registration History

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

- B EDWARD JONES**  
 CRD# 250  
 ST. LOUIS, MO  
 04/1996 - 06/2003

### 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? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Customer Dispute	2



## 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 1 U.S. state or territory through his or her employer.**

### Employment 1 of 1

Firm Name: **ALLSTATE FINANCIAL SERVICES, LLC**

Main Office Address: **151 N 8TH STREET, SUITE 450  
LINCOLN, NE 68508-1380**

Firm CRD#: **18272**

SRO	Category	Status	Date
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	07/17/2008

U.S. State/ Territory	Category	Status	Date
<b>B</b> Texas	Agent	Approved	08/15/2003

### Branch Office Locations

#### **ALLSTATE FINANCIAL SERVICES, LLC**

208 W Main St  
Azle, TX 76020-3120

#### **ALLSTATE FINANCIAL SERVICES, LLC**

126 S RANCH HOUSE RD STE 600  
ALED0, TX 76008-2782

#### **ALLSTATE FINANCIAL SERVICES, LLC**

3904 Boat Club Rd Ste A  
Fort Worth, TX 76135-3201



## 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, 3 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>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	04/16/1996

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/18/1996

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/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 04/1996 - 06/2003	EDWARD JONES	250	ST. LOUIS, MO

### 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
05/2019 - Present	DLMares Properties LLC	Owner	Y	Aledo, TX, United States
07/2015 - Present	DLJAM Inc	President	N	Terrill Hills, TX, United States
01/2012 - Present	MARES INSURANCE GROUP INC	AGENT	Y	AZLE, TX, United States
07/2003 - Present	Allstate Financial Services LLC	Agent	Y	Lincoln, NE, United States
06/2003 - Present	ALLSTATE INSURANCE CO	AGENT	Y	NORTHBROOK, IL, United States
07/2021 - 07/2025	DLM TX Properties LLC	President	Y	Aledo, TX, 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.

ALEDO PROFESSIONAL PROPERTIES, RANCH HOUSE RD ALEDO TX 76008, NOT INVESTMENT RELATED, 5% OF TIME DEVOTED, PARTNER.

-DLJAM INC

PARTNER - PRESIDENT

4791 SW LOOP 820, FORT WORTH TX 76132

I WILL BE A SUPPORTING SPOUSE AS MY WIFE WILL RUN THE OPERATION. I AM JUST A NAMED PARTNER. - CHICKEN EXPRESS FRANCHISE

2%; 3 HOURS PER MONTH; 0 DURING TRADES; 7/1/2015

DLMARES PROPERTIES LLC

## Registration and Employment History



### Other Business Activities, continued

POSITION: Owner NATURE: Owning the building that the Allstate office will be operating out of. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 05/10/2019  
ADDRESS: 126 S Ranch House Rd, #600, Aledo TX 76008, United States  
DESCRIPTION: Collecting rent, paying bills, and maintaining the building

#### DLJAM INC

POSITION: President NATURE: About to sell the remaining stores on 9/1/25 and will shut down DLJAM Inc shortly after. Chicken Express Franchise - Selling fast food INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2015  
ADDRESS: PO Box 91032, Terrill Hills TX 78209, United States  
DESCRIPTION: I will be a supporting spouse as my wife will run the operation. I am just a named partner.

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## Disclosure Events



### What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	2	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

#### Disclosure 1 of 2

**Reporting Source:** Broker

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

**Allegations:** CLIENT ALLEGES FUNDS DEPOSITED IN HER ACCOUNT WERE TO BE USED TO PURCHASE CERTIFICATES OF DEPOSIT AND INSTEAD WERE USED TO PURCHASE OTHER INVESTMENTS. CLIENT STATES THE FUNDS INVESTED ARE NOW VIRTUALLY GONE. CLIENT FURTHER STATES SHE IS VERY ANGRY ABOUT HER LOSSES AND NO LONGER TRUSTS MARES. LOSSES EXCEED \$5,000.00.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$5,000.00

### Customer Complaint Information

**Date Complaint Received:** 02/18/2003

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/08/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

ACCORDING TO OUR RECORDS, THE INITIAL PURCHASES IN THE ACCOUNTS TOOK PLACE IN 1997 AND CONSISTED OF MUTUAL FUNDS. ACCORDING TO IR, HIS DISCUSSIONS WITH THE CLIENT REGARDING THE MUTUAL FUNDS INCLUDED THE FUND PORTFOLIOS, MARKET FLUCTUATION, AS WELL AS HISTORICAL PERFORMANCE. THE IR INDICATED HE EXPLAINED THE FIRM'S INVESTMENT PHILOSOPHY OF BUYING AND HOLDING QUALITY INVESTMENTS FOR THE LONG TERM. IT IS UNDERSTOOD THE IR MET WITH THE CLIENT ON AN ANNUAL BASIS TO REVIEW HER ACCOUNTS AND ALSO MET WITH HER ON OTHER OCCASIONS TO DISCUSS HER CONCERNS. AT THE TIME OF THE PURCHASES, THE CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATIONS AS WELL AS THE APPROPRIATE PROSPECTUSES. IN ADDITION, THE CLIENT HAS RECEIVED STATEMENTS WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN HER ACCOUNTS AS WELL AS REFLECTING ACTIVITY. IT IS OUR OPINION ALL TRANSACTIONS EFFECTED IN THE ACCOUNTS WERE AUTHORIZED. IN ADDITION, IT DOES NOT APPEAR THE INVESTMENTS PURCHASED AND/OR HELD IN THE ACCOUNTS ARE OUTSIDE THE SCOPE OF THE INVESTMENT OBJECTIVES. WHILE THE FIRM UNDERSTANDS THE CLIENT'S DISAPPOINTMENT REGARDING THE DECLINE IN THE VALUE OF THE ACCOUNTS; HOWEVER, THE DECLINE IS ATTRIBUTED TO MARKET FLUCTUATION AS WELL AS WITHDRAWALS. CLAIM DENIED.

**Disclosure 2 of 2**

**Reporting Source:** Broker

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

**Allegations:** CLIENT STATES HE INSTRUCTED MARES TO SELL THE MUTUAL FUNDS HELD IN HIS ACCOUNT ON 9/10/01 AND THE FUNDS WERE NOT LIQUIDATED UNTIL 9/17/01. CLIENT FURTHER STATES, WHEN HE SPOKE WITH MARES, REGARDING THE SITUATION HE WAS INFORMED THE TRADES WOULD BE BACKDATED TO 9/10/01, BUT AT A LATER DATE WAS INFORMED THE TRADES COULD NOT BE BACKDATED. APPROXIMATE MARKET LOSSES AS A RESULT OF THE ALLEGED DELAY ARE \$7,337.00.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$7,337.00



## Customer Complaint Information

**Date Complaint Received:** 09/14/2001

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/30/2001

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

MARES STATES THE CLIENT DID CONTACT HIS OFFICE ON 9/10/01 AND SPOKE WITH HIS BRANCH OFFICE ADMINISTRATOR (BOA) STATING HIS INTENT TO LIQUIDATE THE INVESTMENTS HELD IN HIS ACCOUNT. THE BOA HAS INDICATED SHE INFORMED THE CLIENT SHE WOULD LEAVE A MESSAGE FOR MARES AS THE CLIENT WOULD NEED TO SPEAK WITH HIM. MARES HAS STATED HE CONTACTED THE CUSTOMER AND LEFT A MESSAGE FOR HIM TO RETURN HIS CALL AND ALSO ATTEMPTED TO CONTACT THE CLIENT'S WIFE. THE CLIENT'S WIFE CONTACTED MARES ON 9/11/01 QUESTIONING WHY THE TRADES WERE NOT ENTERED. MARES EXPLAINED THE TRADES COULD NOT BE ENTERED WITHOUT CONFIRMING THE INSTRUCTIONS WITH THE CLIENT. MARES HAS FURTHER STATED HE INFORMED THE CLIENT'S WIFE HE WOULD CONTACT THE HOME OFFICE TO DETERMINE IF THE TRADES COULD BE FILLED AT THE 9/10/01 PRICES. AT A LATER DATE, HE INFORMED THE CLIENT THE TRADES WOULD BE FILLED WHEN THE MARKET REOPENED. THE CLIENT CONTACTED MARES ON 9/17/01 AND TOLD HIM HE DID NOT WANT TO PROCEED WITH THE LIQUIDATIONS AS HE WANTED TO DETERMINE HOW THE MARKET WOULD PERFORM DURING THE DAY. THE CLIENT CONTACTED MARES LATER IN THE DAY AND INSTRUCTED HIM TO PROCEED WITH THE LIQUIDATIONS. BASED ON OUR REVIEW, MARES MADE A REASONABLE ATTEMPT TO CONTACT THE CLIENT ON 9/10/01 AND RECEIVED FIRM INSTRUCTIONS FROM THE CLIENT ON 9/17/01. CLAIM DENIED.

## End of Report



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