

BrokerCheck Report

MARK ANDREW TUDOR

CRD# 2842516

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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 A. TUDOR

CRD# 2842516

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B RAYMOND JAMES FINANCIAL SERVICES, INC.**
CRD# 6694
LAKE MARY, FL
06/2014 - 10/2018
- B RAYMOND JAMES & ASSOCIATES, INC.**
CRD# 705
WINTER PARK, FL
02/2013 - 06/2014
- B MORGAN KEEGAN & COMPANY, INC.**
CRD# 4161
WINTER PARK, FL
03/2009 - 02/2013



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
Regulatory Event	1
Customer Dispute	3
Termination	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	06/03/2015
B General Securities Sales Supervisor - Options Module Examination	Series 9	12/24/2014

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	11/17/2004
B General Securities Representative Examination	Series 7	01/10/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/12/1998
B Uniform Securities Agent State Law Examination	Series 63	01/16/1997

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 **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 06/2014 - 10/2018	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	LAKE MARY, FL
B 02/2013 - 06/2014	RAYMOND JAMES & ASSOCIATES, INC.	705	WINTER PARK, FL
B 03/2009 - 02/2013	MORGAN KEEGAN & COMPANY, INC.	4161	WINTER PARK, FL
B 10/2000 - 03/2009	WACHOVIA SECURITIES, LLC	19616	ORLANDO, FL
B 12/1997 - 10/2000	FIRST UNION BROKERAGE SERVICES, INC.	8112	CHARLOTTE, NC
B 01/1997 - 10/1997	CHATFIELD DEAN & CO., INC.	14714	GREENWOOD VILLAGE, CO

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
10/2018 - Present	CollaborativeWEALTH® Management	Wealth Advisor	Y	Lake Mary, FL, United States
04/2015 - Present	YOUNG LIVING	DISTRIBUTOR IN HEALTH PRODUCTS	N	SANFORD, FL, United States
07/2014 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	LAKE MARY, FL, United States
06/2014 - Present	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	LAKE MARY, FL, United States
02/2013 - 06/2014	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	WINTER PARK, FL, United States

Registration and Employment History



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) TUDOR WEALTH MANAGEMENT, NON-INVESTMENT RELATED, SUPPORT COMPANY/DBA (OWNER), LARK MARY, FL, START:06/2014, OWNER, ADMINISTRATIVE DUTIES, 0 HRS PER MONTH, 0 DURING TRADING HOURS.
 - 2) REIK WEALTH MANAGEMENT, NON-INVESTMENT RELATED, SUPPORT COMPANY, LAKE MARY FL, 6/2014 - PRESENT, EMPLOYEE, NO DUTIES, 0 HRS PER MONTH, 0 HRS DURING TRADING.
 - 3) YOUNG LIVING. SANFORD, FL. NOT INVESTMENT RELATED. STARTED:04/2015. 5 HRS PER MONTH, 0 DURING TRADING HRS. DISTRIBUTOR OF HEALTH PRODUCTS.
 - 4) POSITIVE PATH. INVESTMENT RELATED. OWNER/PARTNER. STARTED:10/2017. SANFORD, FL. 1 HR PER MONTH, 1 HR DURING TRADING HRS. Positive Path is a LLC opened to receive commissions from leads the company generates for my Young Living business OBA.
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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.
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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
Regulatory Event	0	1	0
Customer Dispute	0	3	N/A
Termination	N/A	1	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	12/19/2018
Docket/Case Number:	2018060335501
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Respondent Tudor failed to respond to FINRA request for information.
Current Status:	Final
Resolution:	Letter
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 03/22/2019

Sanctions Ordered: Bar (Permanent)

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? No

(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 2

Sanction Type: Bar (Permanent)

Capacities Affected: All capacities

Duration: Indefinite

Start Date: 03/22/2019

End Date:

Sanction 2 of 2

Sanction Type: Suspension

Capacities Affected: All capacities

Duration: n/a

Start Date: 01/14/2019

End Date: 03/21/2019

Regulator Statement

Pursuant to FINRA Rule 9552(h) and in accordance with FINRA's Notice of Suspension and Suspension from Association letters dated December 19, 2018, and January 14, 2019, respectively, on March 22, 2019, Tudor is barred from association with any FINRA member in all capacities. Respondent failed to request termination of his suspension within three months of the date of the Notice of Suspension; therefore, he is automatically barred from association with any FINRA member in all capacities.





Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Raymond James & Associates, Inc.
Allegations:	Selling Away, Breach of Contract, Fraud, Negligence, Negligent Referral, Breach of Fiduciary Duty, Negligent Supervision, Suitability, Misrepresentation, Omission to State a Material Fact. Activity Dates: 3/18/09- 2/1/13.
Product Type:	Other: Selling Away, Private Securities
Alleged Damages:	\$94,000.00
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:	original file was filed in error
Docket/Case #:	original file was filed in error
Filing date of arbitration/CFTC reparation or civil litigation:	09/28/2018

Customer Complaint Information

Date Complaint Received:	09/28/2018
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	10/02/2018
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA - Chicago

Docket/Case #: 18-03428

Date Notice/Process Served: 10/02/2018

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/20/2018

Monetary Compensation Amount: \$40,000.00

Individual Contribution Amount: \$14,999.99

Firm Statement original filing of DRP was filed in error; individual was named in arbitration

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Raymond James & Associates, Inc

Allegations: Selling Away, Breach of Contract, Fraud, Negligence, Negligent Referral, Breach of Fiduciary Duty, Negligent Supervision, Suitability, Misrepresentation, Omission to State a Material Fact

Product Type: Other: Selling Away, Private Securities

Alleged Damages: \$94,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 18-03428

Date Notice/Process Served: 10/02/2018

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/20/2018



Monetary Compensation Amount:	\$40,000.00
Individual Contribution Amount:	\$14,999.99
Firm Statement	AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE AS TO COVERAGE



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:	WACHOVIA SECURITIES, LLC
Allegations:	FLORIDA RESIDENT WRITES THAT FA ASSURED HIM THAT VARIOUS MUTUAL FUNDS INVESTED WITH FIRM WERE SAFE; YET CLIENT LOST OVER \$11,000 IN ONE MONTH. SEEKS RETURN OF FUNDS THAT WERE LOST WHEN FUNDS SOLD IN OCTOBER 2008.
Product Type:	Mutual Fund
Alleged Damages:	\$11,000.00
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:	12/15/2008
Complaint Pending?	No
Status:	Denied
Status Date:	02/02/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	WROTE TO CLIENT ADVISING HIM THAT LOSSES DUE TO MARKET CONDITIONS, AND FA DID NOT GIVE INAPPROPRIATE ADVICE WHEN HE ADVISED CLIENT TO RETAIN HIS MUTUAL FUND PORTFOLIO. CLAIM DENIED.***AS OF 12/15/2010 THIS ITEM IS NO LONGER REPORTABLE.***



Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: FLORIDA RESIDENT WRITES THAT HER INVESTMENT OF \$100,000 IN THE PUTNAM HARTFORD CAPITAL MANAGER VARIABLE ANNUITY ON 2/2/00 WAS INAPPROPRIATE, BECAUSE SHE WANTED TO PRESERVE HER ASSETS. SHE IS REQUESTING THAT HER PRINCIPAL BE RETURNED TO HER. THE DAMAGES ARE ESTIMATED AT \$15,319.91.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$15,319.91

Customer Complaint Information

Date Complaint Received: 03/13/2007

Complaint Pending? No

Status: Denied

Status Date: 06/28/2007

Settlement Amount:

Individual Contribution Amount:

Broker Statement DENIED BY FIRM. WHEN THE CLIENT MET WITH HER FA IN FEBRUARY 2000, SHE STATED THAT SHE WANTED TO INVEST HER INHERITANCE FOR RETIREMENT. THE CLIENTS INVESTMENT IN THE PUTNAM HARTFORD CAPITAL MANAGER ANNUITY WAS CONSISTENT WITH HER STATED INVESTMENT OBJECTIVE AT THE TIME OF PURCHASE.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	Raymond James Financial Services, Inc
Termination Type:	Discharged
Termination Date:	10/23/2018
Allegations:	Financial Advisor was terminated for introducing clients to investments away from the firm without approval and was not helpful when being interviewed by firm counsel.
Product Type:	No Product

End of Report



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