

BrokerCheck Report

MARK JOHN DUNN

CRD# 4279005

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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



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 J. DUNN**

CRD# 4279005

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

IA LINCOLN INVESTMENT
 8345 W. Sunset Rd.
 Ste. 370
 Las Vegas, NV 89113
 CRD# 519
 Registered with this firm since: 11/02/2023

IA CAPITAL ANALYSTS
 8345 W. Sunset Rd.
 Ste. 370
 Las Vegas, NV 89113
 CRD# 162200
 Registered with this firm since: 11/02/2023

B LINCOLN INVESTMENT
 8345 W. Sunset Rd.
 Ste. 370
 Las Vegas, NV 89113
 CRD# 519
 Registered with this firm since: 10/30/2023

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
- 12 U.S. states and territories

This broker has passed:

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

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

- IA VALIC FINANCIAL ADVISORS, INC.**
 CRD# 42803
 HOUSTON, TX
 11/2010 - 11/2023
- B VALIC FINANCIAL ADVISORS, INC.**
 CRD# 42803
 LAS VEGAS, NV
 07/2010 - 11/2023
- IA AMERICAN EXPRESS FINANCIAL ADVISORS, INC.**
 CRD# 6363
 MINNEAPOLIS, MN
 11/2000 - 07/2005

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	6
Termination	1



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 12 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **CAPITAL ANALYSTS**
 Main Office Address: **601 OFFICE CENTER DRIVE
 SUITE 300
 FORT WASHINGTON, PA 19034-3232**
 Firm CRD#: **162200**

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	11/03/2023
IA	Nevada	Investment Adviser Representative	Approved	11/02/2023

Branch Office Locations

8345 W. Sunset Rd.
 Ste. 370
 Las Vegas, NV 89113

Employment 2 of 2

Firm Name: **LINCOLN INVESTMENT**
 Main Office Address: **601 OFFICE CENTER DRIVE
 SUITE 300
 FORT WASHINGTON, PA 19034**
 Firm CRD#: **519**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/30/2023
B	FINRA	General Securities Representative	Approved	10/30/2023



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	Municipal Fund	Approved	10/30/2023

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	05/23/2024
B Arizona	Agent	Approved	10/30/2023
B California	Agent	Approved	10/30/2023
B Colorado	Agent	Approved	10/30/2023
B Florida	Agent	Approved	10/30/2023
IA Illinois	Investment Adviser Representative	Approved	11/03/2023
B Nevada	Agent	Approved	10/30/2023
IA Nevada	Investment Adviser Representative	Approved	11/02/2023
B New Mexico	Agent	Approved	09/10/2024
B Tennessee	Agent	Approved	10/30/2023
B Utah	Agent	Approved	10/30/2023
B Virginia	Agent	Approved	10/30/2023
B Washington	Agent	Approved	10/30/2023

Branch Office Locations

LINCOLN INVESTMENT
 8345 W. Sunset Rd.
 Ste. 370
 Las Vegas, NV 89113



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 2 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	01/23/2013
B Municipal Fund Securities Principal Examination	Series 51	11/20/2012

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/17/2010

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	07/30/2010

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
IA 11/2010 - 11/2023	VALIC FINANCIAL ADVISORS, INC.	42803	LAS VEGAS, NV
B 07/2010 - 11/2023	VALIC FINANCIAL ADVISORS, INC.	42803	LAS VEGAS, NV
IA 11/2000 - 07/2005	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	6363	LAS VEGAS, NV
B 11/2000 - 07/2005	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B 11/2000 - 07/2005	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

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
10/2023 - Present	Capital Analysts	Investment Advisor Representative	Y	Fort Washington, PA, United States
10/2023 - Present	Lincoln Investment	Registered Representative & Investment Advisor Representative	Y	Fort Washington, PA, United States
12/2022 - 10/2023	AGIA	Agent	N	Houston, TX, United States
06/2010 - 10/2023	VALIC FINANCIAL ADVISORS	REGISTERED REP	Y	LAS VEGAS, NV, 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.

Registration and Employment History



Other Business Activities, continued

MARK DUNN - INSURANCE

POSITION: Agent/Owner/Self NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 1

START DATE: 10/30/2023

ADDRESS: 500 Waters Edge, Suite 150, Lombard IL 60148, United States

DESCRIPTION: Insurance agent. Sales and education. Life insurance and Fixed annuities and Health Insurance

APOLLO STRATEGIC ADVISORS, LLC

POSITION: Owner/Managing Partner NATURE: Financial Services INVESTMENT RELATED: Yes NUMBER OF HOURS: 130 SECURITIES

TRADING HOURS: 6 START DATE: 10/16/2023

ADDRESS: 8345 West Sunset Rd, suite #370, Las Vegas NV 89113, United States

DESCRIPTION: Financial Services. Doing business Expenses

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	6	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.

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:	AMERIPRISE FINANCIAL SERVICES INC
Allegations:	THE CLIENT CLAIMED THE SIGNATURE ON A MEMO INDICATING SHE UNDERSTOOD THE TAX CONSEQUENCES OF SURRENDERING A PORTION OF A VARIABLE ANNUITY WAS NOT HERS. THE MEMO IS DATED, BUT THE TRANSACTION IN QUESTION WAS PLACED IN FEBRUARY 2005.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$5,000.00

Customer Complaint Information

Date Complaint Received:	03/31/2006
Complaint Pending?	No
Status:	Settled
Status Date:	05/15/2006
Settlement Amount:	\$7,696.00
Individual Contribution Amount:	\$0.00
Firm Statement	OUR REVIEW FOUND NO EVIDENCE IN SUPPORT OF THE CLIENT'S ALLEGATION OF FORGERY. NONETHELESS, IN THE INTEREST OF GOOD CLIENT RELATIONS, WE HONORED HER REQUEST FOR REIMBURSEMENT



OF THE TAXES INCURRED BY THE TRANSACTION IN QUESTION (\$7,496), AS WELL AS \$200 IN TAX PREPARER FEES.



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 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	VALIC FINANCIAL ADVISORS, INC.
Allegations:	CLIENT STATED THAT SHE DID NOT FULLY UNDERSTAND THE INTEREST RATE DETAILS OF A TRANSFER. SHE ASKED THAT HER TRANSFER BE REVERSED AND ALL FUNDS RETURNED TO THE ORIGINAL ACCOUNT. THE REQUEST TO REVERSE FROM THE NEW ACCOUNT WOULD HAVE MEANT THE WAIVER OF SURRENDER CHARGES TOTALING IN EXCESS OF \$5000.00.
Product Type:	Annuity-Variable
Alleged Damages:	\$18,000.00
Alleged Damages Amount Explanation (if amount not exact):	ESTIMATE OF THE SURRENDER CHARGES AT THE TIME BASED ON THE TOTAL OF FUNDS TRANSFERRED INTO THE NEW ACCOUNT.
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:	08/16/2012
Complaint Pending?	No
Status:	Denied
Status Date:	09/06/2012
Settlement Amount:	
Individual Contribution Amount:	



Civil Litigation Information

Disposition:

Disposition Date: 09/06/2012

Disclosure 2 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES, INC.

Allegations: THE CLIENT ALLEGED A VARIABLE ANNUITY THAT WAS SOLD TO HIM IN 2005 WAS MISREPRESENTED.

Product Type: Annuity-Variable

Alleged Damages: \$5,433.00

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: 08/01/2011

Complaint Pending? No

Status: Denied

Status Date: 08/10/2011

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES INC.

Allegations: CLIENT ALLEGED A VARIABLE ANNUITY SOLD TO HIM IN 2005 WAS MISREPRESENTED



Product Type: Annuity-Variable

Alleged Damages: \$5,433.00

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: 08/01/2011

Complaint Pending? No

Status: Denied

Status Date: 08/10/2011

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES

Allegations: THE CLIENT CLAIMED THE ADVISOR FAILED TO DISCLOSE THE TAX CONSEQUENCES OF SURRENDERING A PORTION OF HER VARIABLE ANNUITY IN FEBRUARY 2005

Product Type: Annuity(ies) - Variable

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 02/14/2006

Complaint Pending? No

Status: Denied

Status Date: 02/28/2006

**Settlement Amount:****Individual Contribution Amount:****Firm Statement**

OUR REVIEW FOUND NO EVIDENCE TO SUPPORT THE CLIENT'S ALLEGATIONS. THE CLIENT SIGNED A MEMO ACKNOWLEDGING THAT SHE UNDERSTOOD THE TAX CONSEQUENCES OF SURRENDERING A PORTION OF HER ANNUITY. SHE REQUESTED NO FEDERAL TAX WITHHOLDING.

Disclosure 4 of 5**Reporting Source:**

Firm

Employing firm when activities occurred which led to the complaint:

AMERIPRISE FINANCIAL SERVICES INC

Allegations:

THE CLIENT ALLEGED THE SINGLE PREMIUM VARIABLE LIFE INSURANCE POLICY WAS UNSUITABLE FOR HER GOALS AND THAT SHE WAS NOT ADVISED OF THE COST OF INSURANCE NOR THE TAX CONSEQUENCES OF THE PRODUCT. THE CLIENT REQUESTED TO BE MOVED INTO AN ANNUITY OR SIMILAR PRODUCT.

Product Type:

Other

Other Product Type(s):

SINGLE PAY VARIABLE LIFE INSURANCE

Alleged Damages:

\$21,599.99

Customer Complaint Information**Date Complaint Received:**

10/03/2005

Complaint Pending?

No

Status:

Denied

Status Date:

02/02/2006

Settlement Amount:**Individual Contribution Amount:****Firm Statement**

THE FIRM FOUND THE POLICY WAS SUITABLE BASED ON THE INFORMATION PROVIDED BY THE CLIENT AT THE TIME OF THE SALE. FURTHER, THE FIRM FOUND THE CLIENT RECEIVED PROPER DISCLOSURE REGARDING THE TAX CONSEQUENCES OF ANY WITHDRAWALS.



Disclosure 5 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS INC
Allegations:	THE CLIENT CLAIMED HE BORROWED THE ADVISOR MONEY TO INVEST IN HS AMERICAN EXPRESS FRANCHISE IN 2004. THE CLIENT REQUESTED THE LOAN BE REPAYED PLUS FUNDS TO COVER THE COSTS OF THE LOAN.
Product Type:	Other
Other Product Type(s):	NOT APPLICABLE
Alleged Damages:	\$215,000.00

Customer Complaint Information

Date Complaint Received:	03/31/2005
Complaint Pending?	No
Status:	Denied
Status Date:	07/15/2005
Settlement Amount:	

Individual Contribution Amount:

Firm Statement	THE FIRM REVEALED THE ADVISOR VIOLATED MULTIPLE COMPANY POLICIES AND WAS TERMINATED FOR CAUSE. NO OFFER WAS MADE TO THE COMPLAINANT BECAUSE IT WAS DEEMED A PERSONAL TRANSACTION BETWEEN THE CLIENT AND ADVISOR.
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Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS INC
Allegations:	THE CLIENT CLAIMED HE BORROWED ME MONEY TO INVEST IN MY FRANCHISE AND OTHER FRANCHISES IN 2004. THE CLIENT REQUESTED THE LOAN BE REPAYED PLUS FUNDS TO COVER THE COSTS OF THE LOAN.
Product Type:	No Product
Alleged Damages:	\$215,000.00



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: 03/31/2005

Complaint Pending? No

Status: Closed/No Action

Status Date: 10/10/2005

Settlement Amount:

**Individual Contribution
Amount:**



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:	Broker
Employer Name:	AMERICAN EXPRESS FINANCIAL ADVISORS
Termination Type:	Discharged
Termination Date:	07/19/2005
Allegations:	VIOLATION OF THE FRANCHISE AGREEMENT
Product Type:	No Product

End of Report



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