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# Mark D. Coffey

(CRD#: 2400035)

Hickory Financial Group LLC  
2017 N. Center Street  
Hickory, NC 28601  
Phone: (828) 455-1967

## Form ADV Part 2b Brochure Supplement

**Date: April 10, 2020**

This Brochure provides information about the qualifications and background of the registered investment adviser representative listed above. This brochure is a supplement to Hickory Financial Group's (CRD# 306201) disclosure brochure which you should have received as well. If the reader has any questions about the contents of this Brochure or has not received a copy of this Brochure, please contact the Chief Compliance Officer via telephone at (828) 455-1967. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority. Additional information about Carlson Financial and its registered investment adviser representatives can be found on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Registration as an investment adviser representative does not imply any level of skill or training. The oral and written communication of an adviser provides information about which a prospective client might determine to hire or retain an adviser.

### **Educational Background and Business Experience**

**Mark D. Coffey** (Born: 1963)

**Educational Background After High School:** Lenoir-Rhyne College, BBA – Business Administration

#### **Business Experience:**

12/2019 – Present	Hickory Financial Group LLC	Managing Member & Chief Compliance Officer
11/2018 – 10/2019	Avenir Private Advisors LLC	Managing Member & Chief Compliance Officer
11/2012 – 11/2018	Capital Guardian Wealth Management LLC	Senior Vice President/Financial Advisor
06/2017 – 07/2018	Kovack Securities LLC	Registered Representative
11/2012 – 06/2017	Capital Guardian LLC	Registered Representative
03/2007 – 11/2012	Capital Securities Management LLC	Financial Advisor/Registered Representative

### **Disciplinary Information**

There are no legal, civil, or disciplinary events to disclose regarding Mr. Coffey. He has never been involved in any regulatory, civil, or criminal action. However, we do encourage clients to independently review the Investment Adviser Public Disclosure Report which is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### **Other Business Activities**

Mr. Coffey does not engage in any outside business activities which would involve clients of Hickory Financial Group.

### **Additional Compensation**

Mr. Coffey engages in the sale of life insurance and fixed annuities as an employee of Hickory Financial Group. He may receive additional compensation due to the sale of insurance products. Clients are under no obligation to purchase insurance and/or annuity products recommended by the adviser or the firm. He does not receive compensation from any investment-related business other than the activities reflected here.

### **Supervision**

Mr. Coffey serves as Managing Member and Chief Compliance Officer of Hickory Financial Group and is responsible for the overall supervision of the Firm. Mr. Coffey can be reached at (828) 455-1967. Hickory Financial Group's manner of supervision is a multi-tiered process. The Firm maintains a Code of Ethics to which all employees must subscribe. The Code of Ethics provides for the Firm's employees to exercise a fiduciary duty to its clients by acting in the best interest of the client and always placing the client's interest's first and foremost. Hickory Financial Group requires all staff and employees to comply with all federal and state regulations as well as its policies and procedures. Employees are required, no less than annually, to attest to their compliance with the firm's compliance policies and to their understanding of the Code of Ethics.

### **Requirements for State-Registered Advisers**

Mr. Coffey has not been the subject of any arbitration claims, civil proceedings or bankruptcy petition in the past 10 years.