

BrokerCheck Report

MARK HOWARD TEKAMP

CRD# 1056839

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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 H. TEKAMP

CRD# 1056839

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:

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

Registration History

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

- B WACHOVIA SECURITIES FINANCIAL NETWORK, LLC**
CRD# 11025
NORFOLK, VA
05/2004 - 01/2006
- B CITIGROUP GLOBAL MARKETS INC.**
CRD# 7059
NEW YORK, NY
11/1995 - 05/2004
- B PAINEWEBBER INCORPORATED**
CRD# 8174
WEEHAWKEN, NJ
05/1990 - 10/1995

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

| Type | Count |
|------------------|-------|
| Customer Dispute | 2 |

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), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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. 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 1 principal/supervisory exam, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

| Exam | Category | Date |
|---|-----------|------------|
| B General Securities Principal Examination | Series 24 | 09/23/2004 |

General Industry/Product Exams

| Exam | Category | Date |
|--|----------|------------|
| B General Securities Representative Examination | Series 7 | 07/17/1982 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| IA Uniform Investment Adviser Law Examination | Series 65 | 05/05/2004 |
| B Uniform Securities Agent State Law Examination | Series 63 | 08/06/1982 |

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 securities firms:

| Registration Dates | Firm Name | CRD# | Branch Location |
|----------------------------|--|-------|-----------------|
| B 05/2004 - 01/2006 | WACHOVIA SECURITIES FINANCIAL NETWORK, LLC | 11025 | NORFOLK, VA |
| B 11/1995 - 05/2004 | CITIGROUP GLOBAL MARKETS INC. | 7059 | NEW YORK, NY |
| B 05/1990 - 10/1995 | PAINEWEBBER INCORPORATED | 8174 | WEEHAWKEN, NJ |
| B 01/1987 - 05/1990 | PRUDENTIAL-BACHE SECURITIES INC. | 7471 | NEW YORK, NY |
| B 07/1982 - 01/1987 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | 7691 | |

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 |
|-------------------|--|--|--------------------|----------------------------|
| 11/2018 - Present | HERITAGE WEALTH MANAGEMENT GROUP, LTD. | CHIEF INVESTMENT STRATEGIST, FINANCIAL ADVISOR | Y | NORFOLK, VA, United States |
| 07/2008 - Present | HERITAGE WEALTH MANAGEMENT GROUP, LTD. | INVESTMENT ADVISOR REPRESENTATIVE | Y | NORFOLK, VA, United States |

Disclosure Events



What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

| | Final | On Appeal |
|------------------|-------|-----------|
| Customer Dispute | 2 | N/A |



Disclosure Event Details

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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the named broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 2

| | |
|--|--|
| Reporting Source: | Regulator |
| Employing firm when activities occurred which led to the complaint: | SALOMON SMITH BARNEY |
| Allegations: | CLAIMANT CUSTOMER ALLEGES CHURNING, UNSUITABILITY, FRAUD, NEGLIGENCE, MISREPRESENTATION, BREACH OF CONTRACT, FAILURE TO SUPERVISE AND VIOLATION OF FEDERAL SECURITIES LAWS REGARDING RISKY MUTUAL FUNDS. |
| Product Type: | Mutual Fund(s) |
| Alleged Damages: | \$0.00 |

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NYSE - CASE #2005-015980](#)

| | |
|------------------------------------|---|
| Date Notice/Process Served: | 02/01/2005 |
| Arbitration Pending? | No |
| Disposition: | Award |
| Disposition Date: | 10/10/2007 |
| Disposition Detail: | RESPONDENTS CITIGROUP GLOBAL MARKETS, INC. AND MARK H. TEKAMP JOINTLY AND SEVERALLY SHALL PAY CLAIMANT THE SUM OF \$45,000 AS AN AWARD ON THE CLAIM WITH INTEREST TO ACCRUE AT THE RATE OF FIVE PERCENT A YEAR FROM THE DATE OF THE AWARD UNTIL PAID IN FULL. NYSE REGULATION FORUM FEES IN THE AMOUNT OF \$9,600 ARE ASSESSED JOINTLY AND SEVERALLY AGAINST RESPONDENTS CITIGROUP GLOBAL MARKETS, INC. AND MARK H. TEKAMP. NYSE REGULATION COSTS IN THE AMOUNT OF \$1,800, FOR THREE PRE-HEARING CONFERENCES, ARE ASSESSED EQUALLY BETWEEN CLAIMANT AND RESPONDENTS CITIGROUP GLOBAL MARKETS, INC. AND MARK H. TEKAMP JOINTLY AND SEVERALLY. NYSE REGULATION COSTS IN THE AMOUNT OF \$600, FOR ONE |



ADJOURNMENT, ARE ASSESSED AGAINST CLAIMANT.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: ALLEGED UNSUITABILITY, CHURNING, MISREPRESENTATION, REACH OF FIDUCIARY DUTY, FRAUD (SECURITIES ACT VIOLATIONS), BREACH OF CONTRACT, NEGLIGENCE AND VIOLATION OF NASD AND NYSE RULES. ALLEGED DAMAGES - UNSPECIFIED

Product Type: Mutual Fund(s)

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 02/01/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/24/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NYSE DOCKET # 2005-015980](#)

Date Notice/Process Served: 02/24/2005

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/20/2007

Monetary Compensation Amount: \$45,000.00

Individual Contribution Amount: \$0.00



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: ALLEGED UNSUITABILITY, CHURNING, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, FRAUD (SECURITIES ACT VIOLATIONS), BREACH OF CONTRACT, NEGLIGENCE AND VIOLATION OF NASD AND NYSE RULES. ALLEGED DAMAGES - UNSPECIFIED

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 02/01/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/20/2007

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NYSE DOCET #2005-015980](#)

Date Notice/Process Served: 02/24/2005

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/20/2007

Monetary Compensation Amount: \$45,000.00

Individual Contribution Amount: \$0.00

Broker Statement NO DISCIPLINARY ACTION OR CRIMINAL CONVICTION.



Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CLIENT NAMED MR. TEKAMP ALONG WITH ANOTHER F.A. CLIENT ALLEGED UNSUITABLE OPTIONS TRADING IMPROPER SUPERVISION, DISCRETIONARY TRADING AND VIOLATION OF NYSE RULES.

Product Type:

Alleged Damages: \$180,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: Chicago Board Options Exchange; 88-NM-69

Date Notice/Process Served: 01/29/1988

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/01/1990

Monetary Compensation Amount: \$91,000.00

Individual Contribution Amount:

Firm Statement CLIENT WAS AWARDED \$91,000.00



CLIENT ALLEGED DAMAGES OF \$180,000.00

| | |
|--|---|
| Reporting Source: | Broker |
| Employing firm when activities occurred which led to the complaint: | PRUDENTIAL SECURITIES |
| Allegations: | UNSUITABLE OPTIONS TRADING. CLIENT EXPRESSED INTEREST IN OPTIONS TRADING. REFERRED CLIENT TO OTHER BROKER (SAM JESSELSON) OTHER BROKER MADE TRADING RECOMMENDATIONS WITH JOINT COMMISSION SHARING ARRANGEMENT17[CLIENT SHARE PUT OPTIONS DURING MARKET CRASH CREATING TRADING LOSSES OF \$182,000. CLIENT RECEIVED SETTLEMENT AT \$91,000 |
| Product Type: | Options |
| Alleged Damages: | \$182,000.00 |

Customer Complaint Information

| | |
|---------------------------------|------------------------|
| Date Complaint Received: | 01/29/1988 |
| Complaint Pending? | No |
| Status: | Arbitration/Reparation |
| Status Date: | 07/01/1990 |
| Settlement Amount: | |

Individual Contribution Amount:

Arbitration Information

| | |
|---|--|
| Arbitration/Reparation Claim filed with and Docket/Case No.: | CHICAGO BOARD OPTIONS EXCHANGE; 88-NM-69 |
| Date Notice/Process Served: | 01/29/1988 |
| Arbitration Pending? | No |
| Disposition: | Award to Customer |
| Disposition Date: | 07/01/1990 |
| Monetary Compensation Amount: | \$91,000.00 |



| | |
|---------------------------------|--|
| Individual Contribution Amount: | \$0.00 |
| Broker Statement | NO DISCIPLINARY ACTION OR CRIMINAL CONVICTION. PRUDENTIAL SECURITIES MADE SETTLEMENT WITH THE CLIENT \$91,000 CLIENT ALLEGED DAMAGES OF \$180,000.00 |

End of Report



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