

## BrokerCheck Report

### MARK EDWARD ENGLE

CRD# 1962431

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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).

**MARK E. ENGLE**

CRD# 1962431

**Currently employed by and registered with the following Firm(s):****IA LPL FINANCIAL LLC**

2800 ROYAL AVE STE 204  
MADISON, WI 53713  
CRD# 6413

Registered with this firm since: 08/20/2020

**B LPL FINANCIAL LLC**

2800 ROYAL AVE STE 204  
MADISON, WI 53713  
CRD# 6413

Registered with this firm since: 08/20/2020

**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
- 31 U.S. states and territories

**This broker has passed:**

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

**Registration History****This broker was previously registered with the following securities firm(s):****IA USADVISORS WEALTH MANAGEMENT, LLC**

CRD# 158108  
EDEN PRAIRIE, MN  
08/2015 - 08/2020

**B SECURITIES AMERICA, INC.**

CRD# 10205  
MADISON, WI  
07/2009 - 08/2020

**IA SECURITIES AMERICA ADVISORS, INC.**

CRD# 110518  
LA VISTA, NE  
07/2009 - 09/2015

**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	4
Judgment/Lien	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 31 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY  
FORT MILL, SC 29715**

Firm CRD#: **6413**

SRO	Category	Status	Date
<span style="color: blue;">B</span> FINRA	General Securities Representative	Approved	08/20/2020
U.S. State/ Territory	Category	Status	Date
<span style="color: blue;">B</span> Arizona	Agent	Approved	09/15/2020
<span style="color: blue;">B</span> Arkansas	Agent	Approved	08/25/2020
<span style="color: blue;">B</span> California	Agent	Approved	09/15/2020
<span style="color: blue;">B</span> Colorado	Agent	Approved	09/08/2020
<span style="color: blue;">B</span> Connecticut	Agent	Approved	09/15/2020
<span style="color: blue;">B</span> District of Columbia	Agent	Approved	01/23/2026
<span style="color: blue;">B</span> Florida	Agent	Approved	09/15/2020
<span style="color: blue;">B</span> Georgia	Agent	Approved	09/15/2020
<span style="color: blue;">B</span> Idaho	Agent	Approved	09/15/2020
<span style="color: blue;">B</span> Illinois	Agent	Approved	08/27/2020
<span style="color: blue;">B</span> Indiana	Agent	Approved	08/26/2020
<span style="color: blue;">B</span> Iowa	Agent	Approved	08/20/2020

## Broker Qualifications



## Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Kansas	Agent	Approved	11/03/2023
B Kentucky	Agent	Approved	09/15/2020
B Maine	Agent	Approved	08/20/2020
B Maryland	Agent	Approved	03/30/2023
B Massachusetts	Agent	Approved	08/24/2020
B Minnesota	Agent	Approved	08/20/2020
B New Hampshire	Agent	Approved	09/15/2020
B New Mexico	Agent	Approved	01/07/2025
B New York	Agent	Approved	09/15/2020
B Oregon	Agent	Approved	08/20/2020
B Pennsylvania	Agent	Approved	11/06/2020
B South Carolina	Agent	Approved	01/06/2021
B South Dakota	Agent	Approved	04/08/2021
B Tennessee	Agent	Approved	08/20/2020
B Texas	Agent	Approved	09/15/2020
IA Texas	Investment Adviser Representative	Restricted Approval	04/07/2021
B Virginia	Agent	Approved	04/24/2021
B Washington	Agent	Approved	02/08/2021
B Wisconsin	Agent	Approved	08/20/2020
IA Wisconsin	Investment Adviser Representative	Approved	08/20/2020
B Wyoming	Agent	Approved	08/20/2020



## Broker Qualifications

### Employment 1 of 1, continued

#### Branch Office Locations

**LPL FINANCIAL LLC**

2800 ROYAL AVE STE 204  
MADISON, WI 53713

**LPL FINANCIAL LLC**

944 WILLIAMSON STREET  
MADISON, WI 53703

**LPL FINANCIAL LLC**

120 VINBURN ROAD  
DEFOREST, WI 53532

**LPL FINANCIAL LLC**

105 ENTERPRISE DR.  
VERONA, WI 53593

**LPL FINANCIAL LLC**

1205 JOSEPH STREET  
DODGEVILLE, WI 53533

**LPL FINANCIAL LLC**

1000 IHM STREET  
LANCASTER, WI 53813

**LPL FINANCIAL LLC**

1520 E. BUSINESS HIGHWAY 151  
PLATTEVILLE, WI 53818

**LPL FINANCIAL LLC**

5325 HIGH CROSSING BLVD  
MADISON, WI 53718

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## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
<span style="color: blue;">B</span> Registered Options Principal Examination	Series 4	07/05/2000
<span style="color: blue;">B</span> General Securities Principal Examination	Series 24	01/29/1993

#### General Industry/Product Exams

Exam	Category	Date
<span style="color: blue;">B</span> Securities Industry Essentials Examination	SIE	10/01/2018
<span style="color: blue;">B</span> General Securities Representative Examination	Series 7	06/17/1989

#### State Securities Law Exams

Exam	Category	Date
<span style="color: blue;">IA</span> Uniform Investment Adviser Law Examination	Series 65	08/02/2002
<span style="color: blue;">B</span> Uniform Securities Agent State Law Examination	Series 63	06/21/1989

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
IA 08/2015 - 08/2020	USADVISORS WEALTH MANAGEMENT, LLC	158108	MONONA, WI
B 07/2009 - 08/2020	SECURITIES AMERICA, INC.	10205	MADISON, WI
IA 07/2009 - 09/2015	SECURITIES AMERICA ADVISORS, INC.	110518	MONONA, WI
IA 10/2003 - 07/2009	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	MADISON, WI
B 10/2003 - 07/2009	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	MADISON, WI
B 04/1998 - 08/2003	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, CA
B 04/1994 - 04/1998	AEGON USA SECURITIES INC.	13302	CEDAR RAPIDS, IA
B 06/1991 - 04/1994	ROBERT THOMAS SECURITIES, INC	10147	ST. PETERSBURG, FL
B 08/1990 - 06/1991	OFFERMAN & CO., INC.	345	MINNEAPOLIS, MN
B 06/1989 - 10/1990	BLINDER, ROBINSON & CO., INC.	5096	

## 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
08/2020 - Present	LPL Financial LLC	REGISTERED REPRESENTATIVE	Y	Madison, WI, United States
08/2015 - 08/2020	USADVISORS WEALTH MANAGEMENT, LLC	IAR	Y	MONONA, WI, United States
07/2009 - 08/2020	SECURITIES AMERICA ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	LA VISTA, NE, 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) 6/2009 - DBA for LPL Business (entity for LPL business) - Engle Tyler & Associates - Investment Related - Madison, WI 53713
- 2) 1/1992 - Non-Variable Insurance - Mark Engle - Investment Related - Madison, WI 53713
- 3) 1/6/2021 - Heartland Investment Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 1/4/2021- 80 Hours Per Month/80 Hours During Securities Trading.
- 4) 10/03/2023 - Banner Life - Non-Variable Insurance - Agent Producer - Investment Related - At Reported Business Location(s) - Start Date 09/11/2023 - 1 Hour Per Month/ During Trading

## 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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o 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.
  - o 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	4	N/A
Judgment/Lien	1	N/A	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 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	FINANCIAL NETWORK INVESTMENT CORPORATION
<b>Allegations:</b>	CLIENT STATES THAT THE MONIES SHE RECEIVED FROM AN INHERITED PENSION WERE NOT ELIGIBLE TO BE DEPOSITED INTO AN IRA ROLLOVER ACCOUNT WHICH THE REPRESENTATIVE OPENED AND THAT A DECEASED/INHERITED IRA SHOULD HAVE BEEN ESTABLISHED.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$16,764.88
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	THIS AMOUNT IS CALCULATED AS OF JUNE 30, 2009.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

## Customer Complaint Information

**Date Complaint Received:** 09/18/2009

**Complaint Pending?** No

**Status:** Settled



**Status Date:** 12/29/2009

**Settlement Amount:** \$10,746.44

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** FINANCIAL NETWORK INVESTMENT CORPORATION

**Allegations:** CLIENT STATES THAT THE MONIES SHE RECEIVED FROM AN INHERITED PENSION WERE NOT ELIGIBLE TO BE DEPOSITED INTO AN IRA ROLLOVER ACCOUNT WHICH THE REPRESENTATIVE OPENED, AND THAT A DECEASED/INHERITED IRA SHOULD HAVE BEEN ESTABLISHED.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$16,767.88

**Alleged Damages Amount Explanation (if amount not exact):** THIS AMOUNT IS CALCULATED AS OF JUNE 30, 2009.

**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:** 10/05/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/13/2010

**Settlement Amount:** \$10,746.44

**Individual Contribution Amount:** \$0.00

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### Disclosure 2 of 2



**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** FINANCIAL NETWORK INVESTMENT CORPORATION  
**Allegations:** CLIENTS ALLEGE THAT THEY WERE CHARGED EXCESSIVE FEES AND THAT REPRESENTATIVE DID NOT DISCLOSE IN DOLLAR TERMS WHAT FEES THEY WERE BEING CHARGED FROM MAY OF 2006 THRU JULY OF 2009.  
**Product Type:** Unit Investment Trust  
**Alleged Damages:** \$250,000.00  
**Alleged Damages Amount Explanation (if amount not exact):** CLIENTS ALLEGE THAT THEY PAID "SOMETHING LIKE \$250,000 IN FEES." THE FIRM HAS CALCULATED THAT THE CLIENT'S PAID APPROX \$7545.99 FOR ALL ACCOUNTS FROM 04/06 TO 07/09.  
**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:** 09/08/2009  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 12/03/2009  
**Settlement Amount:** \$4,000.00  
**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** FINANCIAL NETWORK INVESTMENT CORPORATION  
**Allegations:** CLIENTS ALLEGE THAT THEY WERE CHARGED EXCESSIVE FEES AND THAT REPRESENTATIVE DID NOT DISCLOSE IN DOLLAR TERMS WHAT FEES THEY WERE BEING CHARGED FROM MAY OF 2006 THRU JULY OF 2009.



<b>Product Type:</b>	Unit Investment Trust
<b>Alleged Damages:</b>	\$250,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	CLIENTS ALLEGE THAT THEY PAID "SOMETHING LIKE \$250,000 IN FEES." THE FIRM HAS CALCULATED THAT THE CLIENTS' PAID APPROX. \$7,545.99 FOR ALL ACCOUNTS FROM 4/06 TO 07/09.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

## Customer Complaint Information

<b>Date Complaint Received:</b>	09/23/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	12/03/2009
<b>Settlement Amount:</b>	\$4,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	THE ALLEGATIONS ARE PATENTLY INACCURATE AND THE ACCOUNT RECORDS PROVE IT. FEES WERE EXPLICITLY DISCLOSED AND REPRESENTED A COMPARATIVE VALUE OVER THE PREVIOUS ACCOUNT. ALTHOUGH THE CLIENT INITIALLY WANTED A LONG TERM INVESTMENT STRATEGY, THEY DEMANDED THAT IT BE ABANDONED. THE CLIENT NEVER INFORMED ME THAT THIS WAS NOT A TEMPORARY MOVE, INSTEAD THEY IGNORED AND REBUFFED MY FURTHER ATTEMPTS TO SUGGEST OTHER INVESTMENTS. I NEVER SUGGESTED OR HAD DISCRETION TO IMPLEMENT THESE SUGGESTIONS WITHOUT THEIR CONSENT.



## 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

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	LPL FINANCIAL LLC
<b>Allegations:</b>	Customer alleges that she was placed in unsuitable investments in January 2022 which she liquidated herself in November 2023.
<b>Product Type:</b>	Unit Investment Trust
<b>Alleged Damages:</b>	\$20,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

**Date Complaint Received:** 12/11/2023

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/06/2024

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** The client invested in High Quality tax-free fixed income with a 5 year time horizon. After the unprecedented rapid increase in interest rates initiated by the Federal Reserve the account declined in value. Despite the fact that there was no change in the client's objectives, financial condition, and time horizon she chose to redeem her investment less than two years after her initial position and she would not have suffered losses had she maintained the positions.



## Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	WALNUT STREET SECURITIES, AEGON USA
<b>Allegations:</b>	BREACH OF FIDUCIARY DUTY 1994-2001
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	INDIVIDUAL STOCKS
<b>Alleged Damages:</b>	\$385,000.00

## Customer Complaint Information

<b>Date Complaint Received:</b>	08/15/2000
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation Litigation Settled
<b>Status Date:</b>	04/15/2002
<b>Settlement Amount:</b>	\$145,000.00
<b>Individual Contribution Amount:</b>	\$2,500.00

## Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NASD, #01-06714
<b>Date Notice/Process Served:</b>	10/01/2001
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	05/01/2001
<b>Monetary Compensation Amount:</b>	\$0.00
<b>Individual Contribution Amount:</b>	\$0.00

## Civil Litigation Information



<b>Court Details:</b>	DANE COUNTY
<b>Date Notice/Process Served:</b>	08/15/2000
<b>Litigation Pending?</b>	No
<b>Disposition:</b>	Other
<b>Disposition Date:</b>	05/01/2001
<b>Monetary Compensation Amount:</b>	\$0.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	ALL OF THESE DISCLOSURES REFER TO THE SAME COMPLAINT AND DISPOSITION OF THAT COMPLAINT. ALTHOUGH SETTLED OUT OF COURT IT WAS ORIGINALLY A CIVIL LIGIGATION THAT WAS DISMISSED AND RE-FILED A NASD ARBITRATION.



## Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

### Disclosure 1 of 1

**Reporting Source:** Broker  
**Judgment/Lien Holder:** INTERNAL REVENUE SERVICE  
**Judgment/Lien Amount:** \$198,247.10  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 07/31/2025  
**Date Individual Learned:** 09/03/2025  
**Type of Court:** Federal Court  
**Name of Court:** Wisconsin Circuit Court  
**Location of Court:** DANE, WI  
**Docket/Case #:** 520357925  
**Judgment/Lien Outstanding?** Yes

## End of Report



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