

BrokerCheck Report

MARK BRIAN DEGNER

CRD# 2364726

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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:
 - o 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
 - o 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 B. DEGNER

CRD# 2364726

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

IA OSAIC WEALTH, INC.
 3369 Crater Lake Hwy
 Suite 101
 Medford, OR 97504
 CRD# 23131
 Registered with this firm since: 10/06/2025

B OSAIC WEALTH, INC.
 3369 Crater Lake Hwy
 Suite 101
 Medford, OR 97504
 CRD# 23131
 Registered with this firm since: 10/06/2025

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
- 18 U.S. states and territories

This broker has passed:

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

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

- B AMERIPRISE FINANCIAL SERVICES, LLC**
 CRD# 6363
 Medford, OR
 03/2017 - 10/2025
- IA AMERIPRISE FINANCIAL SERVICES, LLC**
 CRD# 6363
 MINNEAPOLIS, MN
 03/2017 - 10/2025
- IA LPL FINANCIAL LLC**
 CRD# 6413
 FORT MILL, SC
 04/2003 - 04/2017

**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



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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Office Address: **18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255**

Firm CRD#: **23131**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/06/2025
B	FINRA	General Securities Representative	Approved	10/06/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/06/2025
B	Arizona	Agent	Approved	10/06/2025
B	California	Agent	Approved	10/06/2025
B	Colorado	Agent	Approved	10/06/2025
B	Florida	Agent	Approved	10/06/2025
B	Idaho	Agent	Approved	10/08/2025
B	Iowa	Agent	Approved	10/15/2025
B	Minnesota	Agent	Approved	10/06/2025
B	Nevada	Agent	Approved	10/10/2025
B	North Carolina	Agent	Approved	10/10/2025
B	Oregon	Agent	Approved	10/06/2025



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Oregon	Investment Adviser Representative	Approved	10/09/2025
B	Pennsylvania	Agent	Approved	10/06/2025
B	South Carolina	Agent	Approved	10/16/2025
B	Texas	Agent	Approved	10/06/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	10/06/2025
B	Utah	Agent	Approved	10/06/2025
B	Virginia	Agent	Approved	10/06/2025
B	Washington	Agent	Approved	10/06/2025
B	Wyoming	Agent	Approved	10/06/2025

Branch Office Locations

OSAIC WEALTH, INC.

3369 Crater Lake Hwy
Suite 101
Medford, OR 97504

OSAIC WEALTH, INC.

1200 Mira Mar Ave
Medford, OR 97504



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, 2 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	06/01/1999

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/07/1993

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/25/2003
IA Uniform Investment Adviser Law Examination	Series 65	07/09/1993
B Uniform Securities Agent State Law Examination	Series 63	07/09/1993

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 03/2017 - 10/2025	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Medford, OR
IA 03/2017 - 10/2025	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Medford, OR
IA 04/2003 - 04/2017	LPL FINANCIAL LLC	6413	MEDFORD, OR
B 02/1999 - 04/2017	LPL FINANCIAL LLC	6413	MEDFORD, OR
B 04/1995 - 03/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 07/1993 - 03/1995	SMITH BARNEY INC.	7059	NEW YORK, NY
B 07/1993 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY

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
10/2025 - Present	Osaic Wealth	Registered Representative	Y	Medford, OR, United States
03/2020 - 10/2025	Ameriprise Financial Services, LLC	Registered Rep	Y	Medford, OR, United States
03/2017 - 03/2020	Ameriprise Financial Services Inc	Registered Representative	Y	Medford, OR, United States
02/1999 - 03/2017	LPL Financial, LLC (Formerly: LINSICO/PRIVATE LEDGER CORP.)	Registered Representative	Y	MEDFORD, OR, 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

1. MBD PROPERTIES LLC

POSITION: 100% shareholder NATURE: a LLC formed to hold real estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES

TRADING HOURS: 0 START DATE: 08/01/2016

ADDRESS: 3369 Crater Lake Hwy, PO box 1585, Medford OR 97504, United States

DESCRIPTION: a shell LLC to hold properties. each property has been separately disclosed as a OBA

2. MILL CREEK DR

POSITION: sole proprietor NATURE: sole proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING

HOURS: 0 START DATE: 07/01/2023

ADDRESS: Mill Creek Dr, PO box 1585, Prospect OR 97539, United States

DESCRIPTION: oversee bare property and developing a homesite

3. MARK DEGNER

POSITION: owner NATURE: Sole proprietorship, rental single family residence. INVESTMENT RELATED: Yes NUMBER OF HOURS: 5

SECURITIES TRADING HOURS: 0 START DATE: 08/01/2005

ADDRESS: 83 Kee Lane, PO box 1585, Shady Cove OR 97539, United States

DESCRIPTION: oversee property as landlord

4. MARK DEGNER

POSITION: owner NATURE: Sole Proprietor INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 12/01/2004

ADDRESS: 3600 Terminal Spur Rd., Medford OR 97504, United States

DESCRIPTION: To oversee the property as the landlord for FedEx, the tenant

5. MARK DEGNER

POSITION: owner NATURE: rental Single family residence INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING

HOURS: 0 START DATE: 07/01/2017

ADDRESS: 81 Kee Lane, PO Box 1585, Shady Cove OR 97539, United States

DESCRIPTION: oversee property as landlord

6. MARK DEGNER

POSITION: owner NATURE: a commercial warehouse divided into 3 spaces, separately rented INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2017

ADDRESS: 50 Brophy Ln, PO Box 1585, Shady Cove OR 97539, United States

DESCRIPTION: oversee property as landlord

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
Regulatory Event	0	1	0



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:

Date Initiated: 02/06/2018

Docket/Case Number: [2015045703002](#)

Employing firm when activity occurred which led to the regulatory action: LPL Financial LLC

Product Type: CD

Allegations: Without admitting or denying the findings, Degner consented to the sanctions and to the entry of findings that he negligently made material misstatements in connection with the sale of 20-year interest rate-linked certificates of deposit (CDs) to five elderly customers. The findings stated that Degner misrepresented to these customers that their CDs were not subject to any survivor benefit limitations when, in fact, they were. In fact, the survivor benefits of these CDs were subject to a material limitation that restricted the aggregate amount of early redemptions among all purchasers. The issuer's disclosure statement disclosed this limitation. Degner, however, did not review the issuer's disclosure statement prior to selling the CDs. Nevertheless, based on Degner's recommendation, the five customers purchased CDs totaling \$685,000. Because of the survivor benefit limitation, the



estates of two of the customers were unable to redeem fully their CDs. After Degner learned of the survivor benefit limitation, he informed the remaining three customers of the limitation and they sold their CDs on the secondary market. The five elderly customers or their estates suffered losses of approximately \$75,000. Degner's member firm made whole all of the customers for any losses resulting from the CDs.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	02/06/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
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 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	20 business days
Start Date:	03/05/2018
End Date:	04/02/2018

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$7,500.00**Portion Levied against individual:** \$7,500.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 03/26/2018**Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement** Fines paid in full on March 26, 2018.**Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:****Date Initiated:** 02/06/2018**Docket/Case Number:** [2015045703002](#)**Employing firm when activity occurred which led to the regulatory action:** LPL Financial LLC**Product Type:** CD

Allegations: Without admitting or denying the findings, Degner consented to the sanctions and to the entry of findings that he negligently made material misstatements in connection with the sale of 20-year interest rate-linked certificates of deposit (CDs) to five elderly customers. The findings stated that Degner misrepresented to these customers that their CDs were not subject to any survivor benefit limitations when, in fact, they were. In fact, the survivor benefits of these CDs were subject to a material limitation that restricted the aggregate amount of early redemptions among all purchasers. The issuer's disclosure statement disclosed this limitation. Degner, however, did not review the issuer's disclosure statement prior to selling the CDs. Nevertheless, based on Degner's recommendation, the five customers



purchased CDs totaling \$685,000. Because of the survivor benefit limitation, the estates of two of the customers were unable to redeem fully their CDs. After Degner learned of the survivor benefit limitation, he informed the remaining three customers of the limitation and they sold their CDs on the secondary market. The five elderly customers or their estates suffered losses of approximately \$75,000. Degner's member firm made whole all of the customers for any losses resulting from the CDs.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	02/06/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	20
Start Date:	03/05/2018
End Date:	04/02/2018
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	



Was any portion of penalty waived? No

Amount Waived:

End of Report



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