BrokerCheck Report

MARK ROBERT DIEDERICH

CRD# 2806717

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 R. DIEDERICH

CRD# 2806717

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

IA **OSAIC WEALTH, INC.**
246 LIBERTY STREET
WALLED LAKE, MI 48390
CRD# 23131
Registered with this firm since: 11/03/2023

B **OSAIC WEALTH, INC.**
246 LIBERTY STREET
WALLED LAKE, MI 48390
CRD# 23131
Registered with this firm since: 11/03/2023

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
- 8 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **FSC SECURITIES CORPORATION**
CRD# 7461
ATLANTA, GA
04/2010 - 11/2023

B **FSC SECURITIES CORPORATION**
CRD# 7461
WALLED LAKE, MI
04/2010 - 11/2023

B **NATIONWIDE SECURITIES, LLC**
CRD# 11173
NOVI, MI
08/2008 - 04/2010

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? **No**

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 8 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	Invest. Co and Variable Contracts	Approved	11/03/2023
B	FINRA	Investment Co./Variable Contracts Prin	Approved	11/03/2023

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	11/03/2023
B	Indiana	Agent	Approved	11/03/2023
B	Michigan	Agent	Approved	11/03/2023
IA	Michigan	Investment Adviser Representative	Approved	11/03/2023
B	New Jersey	Agent	Approved	03/17/2025
B	North Carolina	Agent	Approved	01/08/2025
IA	North Carolina	Investment Adviser Representative	Approved	01/08/2025
B	Ohio	Agent	Approved	11/03/2023
B	South Carolina	Agent	Approved	11/03/2023
IA	South Carolina	Investment Adviser Representative	Approved	11/03/2023
B	Texas	Agent	Approved	11/03/2023

Broker Qualifications

Employment 1 of 1, continued

Branch Office Locations

OSAIC WEALTH, INC.
246 LIBERTY STREET
WALLED LAKE, MI 48390

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 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination	Series 26	06/05/2006

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	10/04/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	11/01/2005
B	Uniform Securities Agent State Law Examination	Series 63	10/04/1996

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	04/2010 - 11/2023	FSC SECURITIES CORPORATION	7461	WALLED LAKE, MI
B	04/2010 - 11/2023	FSC SECURITIES CORPORATION	7461	WALLED LAKE, MI
B	08/2008 - 04/2010	NATIONWIDE SECURITIES, LLC	11173	NOVI, MI
IA	08/2008 - 04/2010	NATIONWIDE SECURITIES, LLC	11173	NOVI, MI
B	04/2007 - 08/2008	1717 CAPITAL MANAGEMENT COMPANY	4082	NOVI, MI
IA	07/2006 - 08/2008	1717 CAPITAL MANAGEMENT COMPANY	4082	NOVI, MI
B	10/1996 - 10/2007	NATIONWIDE SECURITIES, INC.	11173	NOVI, MI

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
11/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	WALLED LAKE, MI, United States
04/2010 - 11/2023	FSC SECURITIES CORPORATION	FINANCIAL ADVISOR	Y	NOVI, MI, 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.

1. REAL ESTATE, MARK DIEDERICH, SOLE PROPRIETORSHIP, 22294 ROXBURY DR NOVI MI 48374, OWNER, START DATE: 01/01/1998, 5 HR/MO, O HR/TD, PROPERTY MANAGEMENT.

2. TDA INSURANCE & FINANCIAL AGENCY LLC
POSITION: CEO NATURE: Limited Liability Company - INVESTMENT RELATED: No NUMBER OF HOURS: 100 SECURITIES TRADING

Registration and Employment History

Other Business Activities, continued

HOURS: 100 START DATE: 12/31/9999
ADDRESS: 246 Liberty St, Walled Lake MI 48390, United States
DESCRIPTION: We have this insurance agency that we own and run together with my wife. We sell personal lines, commercial lines, health and benefits. My registration with FSC is part of this overall operation where I specialize and handle the financial services. All Financial services are done through FSC.

3. PATHWAYS FINANCIAL GROUP, LLC

4. CORPORATE IAR

5. DIEDERICH AND SONS PROPERTIES LLC
POSITION: President NATURE: This is an LLC formed by myself and my wife to purchase a building that will be the future home of our branch office. My wife and I are the sole owners of the LLC through our trust. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2017
ADDRESS: 246 Liberty St, Walled Lake MI 48390, United States
DESCRIPTION: Manage the property, maintenance and accounting.

End of Report

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