

BrokerCheck Report

MARK EDWARD ONSTOTT

CRD# 3085028

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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 E. ONSTOTT

CRD# 3085028

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

5525 N Union Blvd
200
COLORADO SPRINGS, CO 80918
CRD# 16164
Registered with this firm since: 01/07/2013

B TRANSAMERICA FINANCIAL ADVISORS, LLC

5525 N Union Blvd
200
COLORADO SPRINGS, CO 80918
CRD# 16164
Registered with this firm since: 01/06/2012

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
- 6 U.S. states and territories

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**

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):****B WORLD GROUP SECURITIES, INC.**

CRD# 114473
COLORADO SPRINGS, CO
04/2002 - 01/2012

B WMA SECURITIES, INC.

CRD# 32625
DULUTH, GA
07/1998 - 04/2002

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

Employment 1 of 1

Firm Name: **TRANSAMERICA FINANCIAL ADVISORS, LLC**

Main Office Address: **TWO LIBERTY PLACE
50 SOUTH 16TH STREET, SUITE 3700
PHILADELPHIA, PA 19102**

Firm CRD#: **16164**

SRO	Category	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	01/06/2012
B FINRA	Investment Co./Variable Contracts Prin	Approved	01/06/2012

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	01/06/2012
B Colorado	Agent	Approved	01/06/2012
IA Colorado	Investment Adviser Representative	Approved	01/07/2013
B Florida	Agent	Approved	11/17/2021
B Georgia	Agent	Approved	09/21/2021
B Oklahoma	Agent	Approved	05/28/2021
B Virginia	Agent	Approved	05/06/2020

Branch Office Locations

TRANSAMERICA FINANCIAL ADVISORS, LLC

5525 N Union Blvd
200

Broker Qualifications



Employment 1 of 1, continued

COLORADO SPRINGS, CO 80918

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	03/12/2001

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	07/15/1998

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/23/2012
B Uniform Securities Agent State Law Examination	Series 63	07/29/1998

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 04/2002 - 01/2012	WORLD GROUP SECURITIES, INC.	114473	COLORADO SPRINGS, CO
B 07/1998 - 04/2002	WMA SECURITIES, INC.	32625	DULUTH, GA

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
07/2023 - Present	Chosen Redondo Retreat, LLC	Member	N	Colorado Springs, CO, United States
01/2020 - Present	TEAM CHOSEN FINANCIAL LLC	OWNER AND EMPLOYEE	N	COLORADO SPRINGS, CO, United States
05/2016 - Present	COLORADO CHOICE HEALTH PLANS	AGENT	Y	ALAMOSA, CO, United States
12/2014 - Present	TEAM CHOSEN FINANCIAL, LLC	MEMBER/OWNER	N	COLORADO SPRINGS, CO, United States
01/2012 - Present	TRANSAMERICA FINANCIAL ADVISORS, LLC	REGISTERED REP.	Y	COLORADO SPRINGS, CO, United States
12/2008 - Present	ANTHEM BLUE CROSS	HEALTH INSURANCE SALES	N	DENVER, CO, United States
09/2008 - Present	ASSURANT HEALTH INSURANCE	SELLING HEALTH INSURANCE	N	COLORADO SPRINGS, CO, United States
06/2001 - Present	WFGIA	ASSOC.	Y	COLORADO SPRINGS, CO, United States
03/2005 - 02/2023	INVESTMENT PROPERTY	OWNER	N	PUEBLO, CO, United States
01/2012 - 07/2022	DEBTMERICA	INDEPENDENT ASSOCIATE	N	SANTA ANA, CA, 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.

Sales of insurance products and non-insurance products, part-time or full-time, for companies affiliated with Transamerica Financial Advisors, Inc."

TEAM CHOSEN FINANCIAL, LLC; NOT INVESTMENT RELATED; 5353 N. UNION BLVD #202, COLORADO SPRINGS CO 80918; AN LLC ESTABLISHED BY ME TO PUT MY OFFICE LEASE UNDER; MEMBER/OWNER; 12/2014; 4 HRS/MONTH; MANAGING THE LLC, FILING AN ANNUAL REPORT

Assurant Health Insurance / 0908-Present / Investment Related: No / Colorado Springs, CO / Agent / Individual Health Insurance / Hrs Work Monthly: 5% / Sec Trading Hrs: 5% / Selling health insurance

Anthem Blue Cross / 1208-Present / Investment Related: No / Denver, CO / Agent / Health insurance Sales/ Hrs Work Monthly: 5% / Sec Trading Hrs: 5% / Selling health insurance

Colorado Choice Health Plans / 0719-Present / Investment Related: Yes / 700 Main St. #100 Alamosa, Co 81101/ Agent/ Health Insurance / Hrs Work Monthly: 2 / Sec Trading Hrs: 0 / Selling health insurance when needed by a client.

TEAM CHOSEN FINANCIAL LLC / INVESTMENT RELATED: NO / 14270 PINE GLEN DR WEST COLORADO SPRINGS, CO 80908 / COMMERCIAL REAL ESTATE, OWNER AND EMPLOYEE/ HOURS PER MONTH: 5 / HOURS DURING SECURITIES TRADING HOURS: 0 / KEEPING UP DOCUMENTATION RELATED TO LLC

CHOSEN REDONDO RETREAT, LLC POSITION: Member NATURE: Investment Property INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2023 ADDRESS: 14270 Pine Glen Dr West, Colorado Springs CO 80908, United States DESCRIPTION: This LLC is for an investment property we are purchasing at the beginning of July 2023. We will have a property management company handling the marketing, and the day to day operations of it. Very little time will be spent by me on it.

End of Report



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