



IAPD Report

DOUGLAS MILES MOCK

CRD# 1304366

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

DOUGLAS MILES MOCK (CRD# 1304366)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	EVEREST FINANCIAL GROUP	CRD# 137260	01/31/2014
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	SECURITIES AMERICA, INC.	10205	MINNEAPOLIS, MN	05/01/2006 - 06/14/2024
IA	FOCUS FINANCIAL NETWORK, INC.	116140	MINNEAPOLIS, MN	08/03/2005 - 12/31/2006
B	ROYAL ALLIANCE ASSOCIATES, INC.	23131	MINNEAPOLIS, MN	06/22/1998 - 05/05/2006

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **14** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/14/2024
B	Alabama	Agent	Approved	06/14/2024
B	Arizona	Agent	Approved	06/14/2024
B	Arkansas	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
B	Idaho	Agent	Approved	06/14/2024
B	Kentucky	Agent	Approved	06/14/2024
B	Michigan	Agent	Approved	08/19/2024
B	Minnesota	Agent	Approved	06/14/2024
B	Oregon	Agent	Approved	06/14/2024
B	Texas	Agent	Approved	06/14/2024
B	Utah	Agent	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	06/14/2024
B Wisconsin	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.

701 XENIA AVE S STE 250
MINNEAPOLIS, MN 55416

Employment 2 of 2

Firm Name: **EVEREST FINANCIAL GROUP**
Main Address: 701 XENIA AVE S
SUITE 250
MINNEAPOLIS, MN 55416-1029
Firm ID#: 137260

Regulator	Registration	Status	Date
IA Minnesota	Investment Adviser Representative	Approved	01/31/2014
IA Texas	Investment Adviser Representative	Restricted Approval	09/28/2017

Branch Office Locations

EVEREST FINANCIAL GROUP

701 XENIA AVE S
SUITE 250
MINNEAPOLIS, MN 55416-1029



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	09/15/1984

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/22/1982



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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/01/2006 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	MINNEAPOLIS, MN
IA	08/03/2005 - 12/31/2006	FOCUS FINANCIAL NETWORK, INC.	CRD# 116140	MINNEAPOLIS, MN
B	06/22/1998 - 05/05/2006	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	MINNEAPOLIS, MN
B	05/19/1992 - 06/30/1998	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	06/28/1991 - 05/19/1992	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	CRD# 5774	
B	01/02/1991 - 05/06/1991	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
B	06/13/1990 - 12/31/1990	FIRST PACIFIC CAPITAL CORPORATION	CRD# 21042	
B	07/14/1986 - 06/29/1990	LTPC, LTD.	CRD# 15383	
B	07/08/1985 - 07/22/1986	MIDLAND MANAGEMENT CORP.	CRD# 6677	
B	09/25/1984 - 07/09/1985	JOHN G. KINNARD AND COMPANY, INCORPORATED	CRD# 466	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	MINNEAPOLIS, MN, United States
01/1981 - Present	DOUG MOCK TAX ADVISORS	TAX PREPARER / ACCOUNTANT / SOLE PROPRIETOR	N	MINNEAPOLIS, MN, United States
05/2006 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
05/2006 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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. DOES NOT HAVE A NAME

POSITION: agent NATURE: INSURANCE SALES - AGENT/OWNER - INVESTMENT RELATED - START DATE: 05/2005 - LOCATED AT 701 XENIA AVE S, SUITE 250, MINNEAPOLIS, MN 55416 - 5% TIME SPENT INVESTMENT RELATED: No NUMBER OF HOURS: 7 SECURITIES TRADING HOURS: 5 START DATE: 05/01/2005 ADDRESS: 701 Xenia Ave So, golden valley MN 55416 DESCRIPTION: Sell Annuities and Life insurance

2. TRRC - TAX AND RETIREMENT RESOURCE CENTER

POSITION: founder NATURE: 2) Tax and Retirement Resource Center - CONSULTANT - LOCATED IN GOLDEN VALLEY, MN - BEGINNING JANUARY 2010 - 10% TIME SPENT INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 2 START DATE: 01/01/2010 ADDRESS: 701 Xenia Ave So, Suite 250, Golden Valley MN 55416 DESCRIPTION: Educate prospects and clients on financial topics related to retirement planning. Topics are Social Security planning, Medicare, Taxes in Retirement, Deferred Compensation, Roth conversions, etc. Investments may be mentioned in a generic sense

3. DOUG MOCK TAX ADVISORS

POSITION: Owner NATURE: 4)- TAX PREPARER - 10% TIME SPENT INVESTMENT RELATED: No NUMBER OF HOURS: 15 SECURITIES TRADING HOURS: 10 START DATE: 01/25/2017 ADDRESS: 701 Xenia Ave So., Suite 250, Golden Valley MN 55416 DESCRIPTION: Prepare and supervise the preparation of personal, estate and business income tax returns. Provide tax planning advice and tax planning strategies.

4. TRRC - TAX AND RETIREMENT RESOURCE CENTER

POSITION: founder NATURE: 2) Tax and Retirement Resource Center - CONSULTANT - LOCATED IN GOLDEN VALLEY, MN - BEGINNING JANUARY 2010 - 10% TIME SPENT INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 2 START DATE: 01/01/2010 ADDRESS: 701 Xenia Ave So, Suite 250, Golden Valley MN 55416, United States DESCRIPTION: Educate prospects and clients on financial topics related to retirement planning. Topics are Social Security planning, Medicare, Taxes in Retirement, Deferred Compensation, Roth conversions, etc, Investments may be mentioned in a generic sense

5. EVEREST FINANCIAL GROUP

POSITION: advisor NATURE: 3) EVEREST FINANCIAL GROUP, LLC - RIA ADVISOR - 50% TIME SPENT INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 25 START DATE: 10/24/2007 ADDRESS: 701 Xenia Ave So #250, Golden Valley MN 55416, United States DESCRIPTION: Provide investment advisor advice and enter trades for clients

6. WEALTH MANAGEMENT GROUP

POSITION: agent NATURE: 5) INSURANCE SALES - AGENT/OWNER - INVESTMENT RELATED - START DATE: 05/2005 - LOCATED AT 701 XENIA AVE S, SUITE 250, MINNEAPOLIS, MN 55416 - 20% TIME SPENT INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 5 START DATE: 05/01/2005 ADDRESS: 701 Xenia Ave So, Suite 250, Ste 250, Golden Valley MN 55416, United States DESCRIPTION: Sell Annuities and Life insurance



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	UNSUITABILITY, VIOLATIONS OF THE MINNESOTA SECURITIES ACT, BREACH OF FIDUCIARY DUTY AND CONSTRUCTIVE FRAUD, BREACH OF CONTRACT, NEGLIGENCE,
Product Type:	Real Estate Security
Alleged Damages:	\$30,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #13-03696
Date Notice/Process Served:	12/18/2013
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	08/20/2014
Disposition Detail:	DOUGLAS MOCK WAS A SUBJECT OF THE CUSTOMER'S STATEMENT OF CLAIM FOR THIS ARBITRATION ALLEGING THAT HE WITH HIS MEMBER FIRM CONTRIBUTED TO THE SALES PRACTICE VIOLATIONS. ACCORDINGLY, THE MEMBER FIRM IS LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF \$11,196.44.



Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	CLAIMANT ALLEGES THAT IN JUNE 2008 THE REPRESENTATIVE RECOMMENDED AN UNSUITABLE INVESTMENT IN A NON-TRADED REIT. ADDITIONAL ALLEGATIONS INCLUDE BREACH OF FIDUCIARY DUTY, FRAUD, MISREPRESENTATION, NEGLIGENCE AND VIOLATIONS OF THE MINNESOTA SECURITIES ACT.
Product Type:	Real Estate Security
Alleged Damages:	\$30,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-03696
Filing date of arbitration/CFTC reparation or civil litigation:	12/18/2013

Customer Complaint Information

Date Complaint Received:	12/31/2013
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	08/15/2014
Settlement Amount:	\$11,196.44
Individual Contribution Amount:	\$0.00
Broker Statement	DOUGLAS MOCK IS NOT A NAMED RESPONDENT IN THIS MATTER; HOWEVER HE DENIES ANY IMPLIED ALLEGATIONS AGAINST HIM.



End of Report

This page is intentionally left blank.