IAPD Report

LANNY KEITH MARKS

CRD# 1465731

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

LANNY KEITH MARKS (CRD# 1465731)

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 **03/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
B	OSAIC WEALTH, INC.	CRD# 23131	07/10/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	BOCA RATON, FL	12/11/2014 - 06/18/2024
IA	SECURITIES AMERICA ADVISORS, INC.	110518	BOCA RATON, FL	01/26/2015 - 06/14/2024
IA	NEWBRIDGE FINANCIAL SERVICES GROUP, INC.	130814	FT. LAUDERDALE, FL	06/24/2005 - 12/15/2014

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
Regulatory Event	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 **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

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 Principal	Approved	07/10/2024
B	FINRA	General Securities Representative	Approved	07/10/2024
B	Arizona	Agent	Approved	03/23/2026
IA	Florida	Investment Adviser Representative	Approved	06/14/2024
B	Florida	Agent	Approved	07/11/2024
B	Georgia	Agent	Approved	07/11/2024
B	Massachusetts	Agent	Approved	07/10/2024
B	New York	Agent	Approved	07/11/2024
B	Pennsylvania	Agent	Approved	07/11/2024
B	Puerto Rico	Agent	Approved	07/18/2024
B	Texas	Agent	Approved	07/11/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	06/14/2024

Qualifications

Branch Office Locations

OSAIC WEALTH, INC.
301 NW CRAWFORD BLVD STE 204
BOCA RATON, FL 33432

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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	11/07/1986

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	02/15/1986

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/21/1986

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	12/11/2014 - 06/18/2024	SECURITIES AMERICA, INC.	CRD# 10205	BOCA RATON, FL
IA	01/26/2015 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	BOCA RATON, FL
IA	06/24/2005 - 12/15/2014	NEWBRIDGE FINANCIAL SERVICES GROUP, INC.	CRD# 130814	FT. LAUDERDALE, FL
B	11/07/2003 - 12/15/2014	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	BOCA RATON, FL
IA	01/02/2002 - 11/07/2003	EASTERN POINT ADVISORS INC.	CRD# 107123	FORT LAUDERDALE, FL
B	03/15/2001 - 11/07/2003	INVESTORS CAPITAL CORP.	CRD# 30613	LYNNFIELD, MA
B	07/08/2000 - 03/22/2001	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
B	03/01/1999 - 07/08/2000	POLARIS FINANCIAL SERVICES, INC.	CRD# 14521	CONCORD, NH
B	10/24/1996 - 12/31/1998	POLARIS FINANCIAL SERVICES, INC.	CRD# 14521	CONCORD, NH
B	08/05/1992 - 11/04/1996	H.D. VEST INVESTMENT SECURITIES, INC.	CRD# 13686	DALLAS, TX
B	02/19/1986 - 11/23/1990	R.L. MARKS & COMPANY	CRD# 16038	

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	JERSEY CITY, NJ, United States
01/1986 - Present	LANNY K. MARKS & ASSOCIATES INC	OWNER	Y	BOCA RATON, FL, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2014 - 06/2024	SECURITIES AMERICA ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	BOCA RATON, FL, United States
12/2014 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States

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. SAA
POSITION: Advisor NATURE: SAA - Advisory business INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2021 ADDRESS: 301 NW Crawford Blvd., Suite 204, Boca Raton FL 33432 DESCRIPTION: Advisory business for clients

2. LANNY K. MARKS & ASSOCIATES, INC.
POSITION: sales & pres. NATURE: INSURANCE, ACCOUNTING AS A CPA, REAL ESTATE INVESTMENT RELATED: No NUMBER OF HOURS: 100 SECURITIES TRADING HOURS: 100 START DATE: 02/15/1986 ADDRESS: 301 NW Crawford Blvd, 204, Boca Raton FL 33432 DESCRIPTION: Sales of insurance products to clients as well as management of the company

3. CREATIVE INVESTMENT PROPERTIES, LLC
POSITION: owner NATURE: Rental property in Tallahassee INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/14/2007 ADDRESS: 1888 Honolulu Lane, 202, Tallahassee FL 32304 DESCRIPTION: Ownership of a townhouse for rent in Tallahassee

4. LANDMARK COMMERCIAL REALTY GROUP
POSITION: Salesperson NATURE: Real estate sales & leasing INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/23/2020 ADDRESS: 2349 Village Square Pkwy, Suite 127, Fleming Island FL 32003 DESCRIPTION: Real estate sales & leasing

5. SOKOL FOUNDATION
POSITION: director at large NATURE: Director for a Charitable Foundation. No investment or sales involved INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 08/01/2018 ADDRESS: 15300 Jog Rd, #208, Delray Beach FL 33446 DESCRIPTION: As a Director I will be responsible for helping the charitable foundation fulfill its requirement to distribute at least 5% each year to nonprofit 501(c) (3) organizations that the Board determines worthy.

6. WEALTH & ESTATE PLANNING SEMINAR
POSITION: Committee Member NATURE: Wealth & Estate Planning Seminar INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 08/30/2023 ADDRESS: FAU, 7777 Glades Rd. Adm 10/#247, Boca Raton FM 33431 DESCRIPTION: Advisory capacity as a Committee Member and current Chairman

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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	DEPT OF PROFESSIONAL REGULATION FOR REAL ESTATE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/01/1997
Docket/Case Number:	9782156
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	FALSE STATEMENT/EMISSION THAT ALL CONTINUING EDUCATION HAD BEEN COMPLETED AT THE TIME OF LICENSE RENEWAL. CONTINUING EDCUATION WAS COMPLETED AFTER THE RENEWAL PERIOD.
Current Status:	Final
Resolution:	Decision
Resolution Date:	01/21/1998
Sanctions Ordered:	Monetary/Fine $1,500.00
Other Sanctions Ordered:	
Sanction Details:	FINED $1,500. NO OTHER PENALTIES. CURRENTLY

	LICENSED AND IN FULL COMPLIANCE. NO PROBLEMS SINCE.
Broker Statement	INADVERTENTLY FORGOT TO SUBMIT MY CONTINUING EDUCATION MATERIALS FOR PROCESSING. SUBSEQUENTLY REALIZED THAT THE MATERIALS HAD NOT BEEN SENT AND SUBMITTED THE CE EXAM AFTER THE RENEWAL REQUEST HAD BEEN SENT. THERE WAS AN ADMINISTRATIVE COMPLAINT FILED FOR FAILURE TO COMPLETE CE IN A TIMELY MANNER. THE COMPLAINT BY FREC HAS BEEN RESOLVED AND MY REAL ESTATE LICENSE IS ACTIVE. I PAID A FINE AND NO OTHER PROBLEMS OR REPURCUSSIONS HAVE OCCURRED. THIS WAS NOT INVESTMENT OR CLIENT RELATED.

End of Report

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