IAPD Report

MARK MARKLAND

CRD# 1487083

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

MARK MARKLAND (CRD# 1487083)

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 **04/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THE AMERIFLEX GROUP	CRD# 305585	08/21/2020
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	06/27/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	OSAIC WEALTH, INC.	23131	MANHATTAN BEACH, CA	09/01/2023 - 07/10/2025
B	SAGEPOINT FINANCIAL, INC.	133763	MANHATTAN BEACH, CA	05/01/2019 - 09/01/2023
IA	SAGEPOINT FINANCIAL, INC.	133763	MANHATTAN BEACH, CA	05/01/2019 - 12/17/2020

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	4

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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**

Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757

Firm ID#: 39543

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/27/2025
B	FINRA	General Securities Representative	Approved	06/27/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	06/27/2025
B	FINRA	Operations Professional	Approved	06/27/2025
B	Arizona	Agent	Approved	06/27/2025
B	California	Agent	Approved	06/27/2025
B	Colorado	Agent	Approved	06/27/2025
B	Florida	Agent	Approved	06/27/2025
B	Georgia	Agent	Approved	06/27/2025
B	Idaho	Agent	Approved	06/27/2025
B	Louisiana	Agent	Approved	06/27/2025
B	Montana	Agent	Approved	07/28/2025
B	Texas	Agent	Approved	06/27/2025

Qualifications

	Regulator	Registration	Status	Date
B	Wyoming	Agent	Approved	04/02/2026

Branch Office Locations

CAMBRIDGE INVESTMENT RESERARCH, INC.
222 N. Pacific Coast Hwy, 10th Floor
El Segundo, CA 90245

Employment 2 of 2

Firm Name: **THE AMERIFLEX GROUP**

Main Address: 8475 W. SUNSET ROAD, SUITE 101
LAS VEGAS, NV 89113

Firm ID#: 305585

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	08/21/2020

Branch Office Locations

THE AMERIFLEX GROUP
222 Pacific Coast Highway, 10th Floor
El Segundo, CA 90245

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, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/28/2011

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/20/1996
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/23/1987

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/18/1994

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	09/01/2023 - 07/10/2025	OSAIC WEALTH, INC.	CRD# 23131	MANHATTAN BEACH, C
B	05/01/2019 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	MANHATTAN BEACH, C
IA	05/01/2019 - 12/17/2020	SAGEPOINT FINANCIAL, INC.	CRD# 133763	MANHATTAN BEACH, C
IA	05/21/2012 - 05/02/2019	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	MANHATTAN BEACH, C
B	02/10/2011 - 05/02/2019	FIRST ALLIED SECURITIES, INC.	CRD# 32444	OXNARD, CA
IA	02/10/2011 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	OXNARD, CA
B	06/26/2007 - 02/11/2011	QA3 FINANCIAL CORP.	CRD# 14754	MANHATTAN BEACH, C
IA	06/26/2007 - 02/11/2011	QA3 FINANCIAL LLC	CRD# 104957	MANHATTAN BEACH, C
IA	01/03/1996 - 07/13/2007	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	MANHATTAN BEACH, C
B	01/01/1988 - 07/13/2007	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	MANHATTAN BEACH, C

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
06/2025 - Present	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
08/2020 - Present	THE AMERIFLEX GROUP, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	MANHATTAN BEACH, CA, United States
09/2023 - 06/2025	OSAIC WEALTH, INC.	Mass Transfer	Y	MANHATTAN BEACH, CA, United States
05/2019 - 09/2023	SAGEPOINT FINANCIAL, INC.	REGISTERED REPRESENTATIVE/INVESTMENT ADVISER REPRESENTATIVE	Y	MANHATTAN BEACH, CA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
		REPRESENTATIVE		
07/2012 - 05/2019	FIRST ALLIED ADVISORY SERVICES, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
02/2011 - 05/2019	FIRST ALLIED SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, 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. CHEYENNE PROPERTIES, LLC, 74-293 DESERT BAJADA TRAIL, INDIAN WELLS CA 92210, United States, 06/27/2025, Owner, Real Estate, NIR, 1 HR/MO - 0 HR/MO TRADING

2. MARK MARKLAND, El Segundo CA, 06/27/2025, Agent, Insurance/Benefits/Human Resources, NIR, 30 HR/MO - 7 HR/MO TRADING

3. MARKLAND WEALTH MANAGEMENT, INC, 2120 The Strand, Unit 6, Manhattan Beach CA 90266, United States, 06/27/2025, Owner, DBA Name, NIR, 0 HR/MO - 0 HR/MO TRADING

4. THE AMERIFLEX GROUP, 2120 The Strand, Unit 6, Manhattan Beach CA 90266, United States, 06/27/2025, IAR, RIA Affiliation-other than CIRA, INV REL, 80 HR/MO - 25 HR/MO TRADING

5. VIEWPOINT PROPERTIES LLC, 74-293 DESERT BAJADA TRAIL, INDIAN WELLS CA 92210, United States, 06/27/2025, Owner, Real Estate, NIR, 1 HR/MO - 0 HR/MO TRADING

6. MARK MARKLAND, 2120 The Strand, Unit 6, Manhattan Beach CA 90266, United States, 09/09/2025, Owner, Real Estate, NIR, 2 HR/MO - 0 HR/MO TRADING.

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	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	First Allied Securities, Inc.
Allegations:	Claimants allege unsuitable alternative investment recommendations, failure to supervise, and inadequate due diligence.
Product Type:	Real Estate Security
Alleged Damages:	$200,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-01588
Filing date of arbitration/CFTC reparation or civil litigation:	06/22/2021

Customer Complaint Information

Date Complaint Received:	06/24/2021
Complaint Pending?	No

Status:	Settled
Status Date:	06/24/2022
Settlement Amount:	$100,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	First Allied Securities, Inc.
Allegations:	Claimants allege unsuitable alternative investment recommendations, failure to supervise, and inadequate due diligence.
Product Type:	Real Estate Security
Alleged Damages:	$200,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-01588
Filing date of arbitration/CFTC reparation or civil litigation:	06/22/2021

Customer Complaint Information

Date Complaint Received:	07/23/2021
Complaint Pending?	No
Status:	Settled
Status Date:	07/14/2022
Settlement Amount:	$100,000.00
Individual Contribution Amount:	$0.00
Broker Statement	I deny the complaint and look forward to the opportunity to respond fully. The investment, when made, was appropriate and suitable. The investment was part of a fully integrated investment plan for the client

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	First Allied Securities, Inc.
Allegations:	Client alleges that Business Development Company (BDC) investment was

	unsuitable.
Product Type:	Other: Business Development Company
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Firm has made a good faith determination that the damages from the alleged conduct would exceed $5,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/03/2020
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	04/01/2021
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	QA3 FINANCIAL
Allegations:	UNSUITABILITY FOR ALTERNATIVE INVESTMENTS SOLD BETWEEN 11/21/08 AND 6/26/09
Product Type:	Direct Investment-DPP & LP Interests Oil & Gas
Alleged Damages:	$760,000.00
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 #:	10-02141
Filing date of arbitration/CFTC reparation or civil litigation:	05/04/2010

Customer Complaint Information

Date Complaint Received:	11/09/2009

Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	05/04/2010
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-02141
Date Notice/Process Served:	05/04/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/13/2012
Monetary Compensation Amount:	$250,000.00
Individual Contribution Amount:	$250,000.00
Broker Statement	$250,000 WAS IN EXCHANGE FOR THE TRANSFER OF THE CLIENT'S CLEARWATER 2008 NOTE PROGRAM INVESTMENT OF $200,000.

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	1717 CAPITAL MGMT COMPANY
Allegations:	CUSTOMER ALLEGES MISREPRESENTATION IN THE SALE OF A VARIABLE LIFE INS POLICY PURCHASED IN 1996.
Product Type:	Insurance
Other Product Type(s):	VARIABLE LIFE INS
Alleged Damages:	$18,209.00

Customer Complaint Information

Date Complaint Received:	12/12/2003
Complaint Pending?	No
Status:	Denied
Status Date:	02/16/2004
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

End of Report

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