



IAPD Report

MARK HENRY MAURER

CRD# 1496683

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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.



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 HENRY MAURER (CRD# 1496683)

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 **12/10/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ANDREW GARRETT INC.	CRD# 29931	10/02/2002
IA	ANDREW GARRETT, INC.	CRD# 29931	05/24/2007

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **21** 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	SOUTHERN FINANCIAL GROUP, INC.	16714	COLUMBIA, SC	01/01/1995 - 05/22/2002
B	INVESTMENT OPPORTUNITY CORPORATION 35719		GREENVILLE, SC	02/27/1996 - 04/19/1996
B	BROKERS EXCHANGE, INC.	7894	COLUMBIA, SC	05/23/1986 - 01/01/1995

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 21 jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ANDREW GARRETT, INC.**

Main Address: 230 PARK AVENUE 3RD FLOOR WEST
NEW YORK, NY 10169

Firm ID#: 29931

Regulator	Registration	Status	Date
B	FINRA General Securities Principal	Approved	10/02/2002
B	FINRA General Securities Representative	Approved	10/02/2002
B	FINRA Registered Options Principal	Approved	10/02/2002
B	FINRA Investment Banking Representative	Approved	11/24/2009
B	FINRA Operations Professional	Approved	10/19/2011
B	FINRA Investment Banking Principal	Approved	10/01/2018
B	Nasdaq Stock Market General Securities Principal	Approved	10/31/2007
B	Nasdaq Stock Market General Securities Representative	Approved	10/31/2007
B	Alabama Agent	Approved	10/02/2002
IA	Alabama Investment Adviser Representative	Approved	10/24/2022
B	California Agent	Approved	03/18/2005
B	Florida Agent	Approved	10/02/2002
IA	Florida Investment Adviser Representative	Approved	10/05/2007



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	10/02/2002
IA Georgia	Investment Adviser Representative	Approved	11/04/2024
B Illinois	Agent	Approved	09/14/2007
IA Illinois	Investment Adviser Representative	Approved	01/08/2008
B Iowa	Agent	Approved	12/12/2024
B Kentucky	Agent	Approved	07/30/2012
B Louisiana	Agent	Approved	01/22/2014
IA Louisiana	Investment Adviser Representative	Approved	11/15/2024
B Massachusetts	Agent	Approved	05/03/2005
B Minnesota	Agent	Approved	11/12/2020
IA Minnesota	Investment Adviser Representative	Approved	10/26/2022
B Missouri	Agent	Approved	09/13/2007
B New Jersey	Agent	Approved	03/28/2005
B New Mexico	Agent	Approved	07/18/2022
B New York	Agent	Approved	10/06/2005
B North Carolina	Agent	Approved	10/02/2002
IA North Carolina	Investment Adviser Representative	Approved	11/01/2024
B North Dakota	Agent	Approved	06/01/2020
B Pennsylvania	Agent	Approved	03/22/2005



Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	10/02/2002
IA	South Carolina	Investment Adviser Representative	Approved	09/18/2007
B	Texas	Agent	Approved	10/02/2002
B	Virginia	Agent	Approved	10/02/2002
IA	Virginia	Investment Adviser Representative	Approved	12/25/2021
B	Wisconsin	Agent	Approved	10/26/2011

Branch Office Locations

ANDREW GARRETT, INC.
Anderson, SC

ANDREW GARRETT, INC.
ANDERSON, SC



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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	02/05/1996
 General Securities Principal Examination (S24)	Series 24	05/20/1988

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/17/1986

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/18/2007
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/05/1986

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



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	01/01/1995 - 05/22/2002	SOUTHERN FINANCIAL GROUP, INC.	CRD# 16714	COLUMBIA, SC
B	02/27/1996 - 04/19/1996	INVESTMENT OPPORTUNITY CORPORATION	CRD# 35719	GREENVILLE, SC
B	05/23/1986 - 01/01/1995	BROKERS EXCHANGE, INC.	CRD# 7894	COLUMBIA, SC

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
05/2002 - Present	ANDREW GARRETT INC.	REG REP	Y	SPRINGFIELD, MO, 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.

No information reported.



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:	STATE OF NEW HAMPSHIRE BUREAU OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	02/10/1998
Docket/Case Number:	INV98-003
Employing firm when activity occurred which led to the regulatory action:	SOUTHERN FINANCIAL GROUP
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	ONE ALLEGATION OF CONDUCTING ONE SECURITIES TRANSACTION IN NEW HAMPSHIRE WHILE NOT REGISTERED IN NEW HAMPSHIRE.
Current Status:	Final
Resolution:	Dismissed
Resolution Date:	04/06/1998
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	THE ALLEGATION WAS DISMISSED BY THE STATE OF NEW HAMPSHIRE (NH POINT OF CONTACT: [THIRD PARTY], 603-271-1463).

**Broker Statement**

I WAS NAMED IN A CEASE AND DESIST ORDER ISSUED BY THE STATE OF NEW HAMPSHIRE. AFTER INVESTIGATION, THE ALLEGATION WAS FOUND TO BE UNTRUE AND WAS DISMISSED. MY NAME HAS BEEN REMOVED FROM THE CEASE AND DESIST ORDER.

I WAS NAMED IN A CONSENT ORDER FOR HAVING A CLIENT IN NH WHILE NOT BEING REGISTERED IN NH.

FACTS: MY SISTER-IN-LAW, A SOUTH CAROLINA, RESIDENT WANTED TO BUY A FEW SHARES OF STOCK AS A CHRISTMAS PRESENT FOR A RELATIVE THAT LIVED IN NEW HAMPSHIRE. I OPENED AN ACCOUNT IN THE RELATIVES NAME USING THE RELATIVES NEW HAMPSHIRE ADDRESS FOR THE SHARES TO BE DELIVERED. MY SISTER-IN -LAW, A SOUTH CAROLINA RESIDENT PLACED THE BUY ORDER AND PAID FOR THE STOCK. THESE FACTS WERE PRESENTED TO NH AND MY NAME WAS REMOVED FROM THE FINAL CONSENT ORDER AND THERE WERE NO FINES AGAINST ME PERSONALLY.



End of Report

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