



IAPD Report

MARK STEVEN LOFTUS

CRD# 1720328

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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 STEVEN LOFTUS (CRD# 1720328)

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 **01/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	10/19/2018
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	10/19/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **37** 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	MORGAN STANLEY	149777	OAK BROOK, IL	06/01/2009 - 10/22/2018
IA	MORGAN STANLEY	149777	OAK BROOK, IL	06/01/2009 - 10/22/2018
B	CITIGROUP GLOBAL MARKETS INC.	7059	OAKBROOK TERRACE, IL	05/08/2009 - 06/01/2009

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	3



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

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/19/2018
B	FINRA	General Securities Sales Supervisor	Approved	04/08/2019
B	Arizona	Agent	Approved	10/19/2018
B	California	Agent	Approved	10/19/2018
B	Colorado	Agent	Approved	10/19/2018
B	Florida	Agent	Approved	10/19/2018
B	Georgia	Agent	Approved	01/12/2026
B	Idaho	Agent	Approved	07/16/2021
B	Illinois	Agent	Approved	10/19/2018
B	Indiana	Agent	Approved	10/23/2018
B	Iowa	Agent	Approved	10/19/2018
B	Kansas	Agent	Approved	07/02/2021
B	Kentucky	Agent	Approved	08/05/2021



Qualifications

Regulator	Registration	Status	Date
B Louisiana	Agent	Approved	01/27/2026
B Maryland	Agent	Approved	10/19/2018
B Massachusetts	Agent	Approved	10/19/2018
B Michigan	Agent	Approved	10/19/2018
B Minnesota	Agent	Approved	04/21/2020
B Mississippi	Agent	Approved	02/03/2025
B Missouri	Agent	Approved	03/01/2021
B Montana	Agent	Approved	10/11/2023
B Nebraska	Agent	Approved	11/14/2023
B Nevada	Agent	Approved	10/19/2018
B New Jersey	Agent	Approved	10/19/2018
B New Mexico	Agent	Approved	12/03/2021
B New York	Agent	Approved	10/19/2018
B North Carolina	Agent	Approved	03/02/2021
B Ohio	Agent	Approved	10/19/2018
B Oregon	Agent	Approved	10/19/2018
B Pennsylvania	Agent	Approved	05/19/2020
B South Carolina	Agent	Approved	10/19/2018
B South Dakota	Agent	Approved	05/07/2024



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	10/19/2018
B Texas	Agent	Approved	10/19/2018
B Utah	Agent	Approved	07/22/2019
B Virginia	Agent	Approved	10/19/2018
B Washington	Agent	Approved	07/01/2021
B Wisconsin	Agent	Approved	10/19/2018
B Wyoming	Agent	Approved	10/19/2018

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES

1901 Butterfield Rd
Suite 100
Downers Grove, IL 60515

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716
Firm ID#: 149018

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	10/23/2018
IA Texas	Investment Adviser Representative	Restricted Approval	10/19/2018

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

1901 Butterfield Rd
Suite 100
Downers Grove, IL 60515



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
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	04/08/2019
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	03/08/2019

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	01/27/2012
National Commodity Futures Examination (S3)	Series 3	05/24/1988
General Securities Representative Examination (S7)	Series 7	09/19/1987

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	12/15/1999
Uniform Securities Agent State Law Examination (S63)	Series 63	10/14/1987

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	06/01/2009 - 10/22/2018	MORGAN STANLEY	CRD# 149777	OAK BROOK, IL
IA	06/01/2009 - 10/22/2018	MORGAN STANLEY	CRD# 149777	OAK BROOK, IL
B	05/08/2009 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	OAKBROOK TERRACE,
IA	05/08/2009 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	OAKBROOK TERRACE,
IA	05/08/2003 - 05/11/2009	WELLS FARGO ADVISORS, LLC	CRD# 19616	ITASCA, IL
B	10/28/1998 - 05/11/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	ITASCA, IL
B	10/23/1987 - 10/21/1998	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY

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
07/2021 - Present	Independent Wealth Partners	Other	N	Downers Grove, IL, United States
10/2018 - Present	Loftus & Preusser Wealth Partners	Other, Officer - President	N	Downers Grove, IL, United States
10/2018 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	INVESTMENT ADVISER	Y	DOWNERS GROVE, IL, United States
10/2018 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	DOWNERS GROVE, IL, United States
09/2018 - Present	Loftus Group LLC	Independent Contractor, Other	N	Downers Grove, IL, United States
09/2018 - Present	MSL Enterprises, Inc	Independent Contractor	N	Downers Grove, IL, United States
05/2009 - 10/2018	MORGAN STANLEY	FINANCIAL ADVISOR	Y	OAK BROOK, IL, 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)Name of Business: Independent Wealth Partners Address: 1901 Butterfield Rd Suite 100, Downers Grove, IL, 60515, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 07/08/2021 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 11-20 Description of duties: Independent Wealth Partners - Raymond James (co-branded) is the name we are using for our current and future branch offices now that multiple wealth teams, each with their own brand, have joined our branch.
- (2)Name of Business: Loftus & Preusser Wealth Partners Address: 1901 Butterfield Rd Suite 100, Downers Grove, IL, 60515, United States Activity Type: Support Company - Owner Position/Title: Other, Officer - President Investment Related: No Start Date: 01/06/2021 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Looking to change our team name to:Loftus & Preusser Wealth Partnersfor our existing wealth management business at RJFS. We will continue to co-brand with Raymond James.This is strictly a change in dba name for our existing business entity.
- (3)Name of Business: Loftus Group LLC Address: 1901 Butterfield Rd Suite 100, Downers Grove, IL, 60515, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor, Other Investment Related: No Start Date: 09/20/2018 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 11-20 Description of duties: This is our business partnership entity, co-owned by the respective S-Corps of me and Jeff Preusser. The entity uses a DBA of either Loftus Group Wealth Partners, Loftus & Preusser Wealth Partners, or Independent Wealth Partners depending on the activity
- (4)Name of Business: MSL Enterprises, Inc. Address: 1901 Butterfield Rd Suite 100, Downers Grove, IL, 60515, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 09/21/2018 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 11-20 Description of duties: This entity is the S-Corp created upon my joining RJFS to receive my net business income from RJ each pay period. It also co-owns the parent entity Loftus Group LLC with my partner Jeff Preusser.



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES INC. (CURRENTLY KNOWN AS WACHOVIA SECURITIES INC.)
Allegations:	ILLINOIS RESIDENT ALLEGED UNAUTHORIZED MUTUAL FUND SWITCHING TRANSACTIONS AND UIT PURCHASES WERE MADE BY THE FINANCIAL ADVISOR DURING THE PERIOD OF OCTOBER 1998 TO JUNE 2002. THE CLIENT ALSO ALLEGED EXCESSIVE TRADING IN HIS ACCOUNT BY HIS FINANCIAL ADVISOR AND STATED THAT INVESTMENTS MADE WERE UNSUITABLE. THE CLIENT CLAIMED DAMAGES OF \$211,968.00.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$211,968.00

Customer Complaint Information

Date Complaint Received:	11/20/2002
Complaint Pending?	No
Status:	Denied
Status Date:	02/12/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement	THE CLAIM WAS DENIED BY THE FIRM. BASED UPON ITS REVIEW OF THE MATTER, THE FIRM DID NOT FIND THAT THE FINANCIAL ADVISOR HAD ENGAGED IN EXCESSIVE TRADING, UNAUTHORIZED TRADING, OR ANY
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OTHER PROHIBITED OR OTHERWISE INAPPROPRIATE SALES PRACTICE CONDUCT.

Disclosure 2 of 3

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

FIRST UNION SECURITIES INC.

Allegations:

ILLINOIS RESIDENT CLAIMS THAT SECURITIES (MUTUAL FUNDS) WERE PURCHASED WITHOUT HER BEING CONTACTED BY THE FA. FURTHER, THAT SHE GAVE SPECIFIC INSTRUCTIONS TO THE FA TO CALL HER FIRST BEFORE DOING ANYTHING. CLIENT ALSO CLAIMS THAT HER INVESTMENTS ARE OF LOW QUALITY WITH UNUSUAL AMOUNTS OF FEES. CLIENT CLAIMS THAT SHE INSTRUCTED THE FA TO ONLY RECOMMEND CONSERVATIVE SECURITIES. NO SPECIFIC DOLLAR AMOUNT WAS CLAIMED, BUT APPEARS TO BE IN EXCESS OF \$5,000. CLIENT DID NOT SPECIFY THE TIME PERIOD DURING WHICH THE ALLEGED ACTIVITY OCCURRED; HOWEVER SHE OPENED THE ACCOUNT IN 10/98 AND A TRUST ACCOUNT IN 09/99.

Product Type:

Mutual Fund(s)

Alleged Damages:

\$5,000.00

Customer Complaint Information

Date Complaint Received:

05/31/2002

Complaint Pending?

No

Status:

Denied

Status Date:

07/10/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE COMPLAINT WAS DENIED. LETTER SENT TO THE SEC AND THE CLIENT ON JULY 10, 2002. THE CUSTOMER WAS A CLIENT OF THE FA FOR TEN YEARS. THE CLIENT HAD PURCHASED EQUITY GROWTH FUNDS THROUGHOUT THE PERIOD OF TIME THAT THE FA HANDLED HER ACCOUNTS. THE FA SPOKE TO THE CLIENT AND OBTAINED HER AUTHORIZATION PRIOR TO ENTERING ANY ORDERS FOR HER ACCOUNT(S). THE INVESTMENTS WERE SUITABLE BASED UPON THE CLIENT'S INVESTMENT OBJECTIVE WHICH WAS GROWTH AND MODERATE RISK TOLERANCE. THE FA MET WITH THE CLIENT PERIODICALLY AND REVIEWED PORTFOLIO PERFORMANCE; THE FA SPOKE TO THE CLIENT FREQUENTLY DURING THE TEN YEARS THAT HE WORKED WITH HER. POOR PERFORMANCE DUE TO MARKET CONDITIONS. NO IRREGULARITIES WERE DETECTED WITH RESPECT TO THE HANDLING OF THE ACCOUNT(S) BY THE FA.

Disclosure 3 of 3

Reporting Source:

Firm



Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS, INC.

Allegations: COMPLAINT GENERALLY ALLEGES UNSUITABLE TRADING IN CLIENTS ACCOUNTS. ALLEGES LOSSES OF \$500,000.

Product Type:

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 03/21/1995

Complaint Pending? No

Status: Settled

Status Date: 11/06/1998

Settlement Amount: \$145,000.00

Individual Contribution Amount:

Firm Statement DEAN WITTER SETTLED THIS MATTER FOR \$145,000 WITHOUT ADMISSION OF LIABILITY AND IN EXCHANGE FOR A RELEASE OF ALL CLAIMS PLAINTIFFS MAY HAVE. DEAN WITTER DENIES PLAINTIFFS' ALLEGATIONS AND SETTLED THIS MATTER IN ORDER TO AVOID THE EXPENSE AND UNCERTAINTY OF LITIGATION.
NOT PROVIDED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS, INC.

Allegations: SUITABILITY, UNAUTHORIZED TRADING WITH DEAN WITTER'S PROFIT/LOSS ANALYSIS DETERMINING A NET LOSS OF APPROXIMATELY \$79,000 ON ASSETS OF NEARLY \$3 MILLION OVER THREE YEARS

Product Type:

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 03/21/1995

Complaint Pending? No

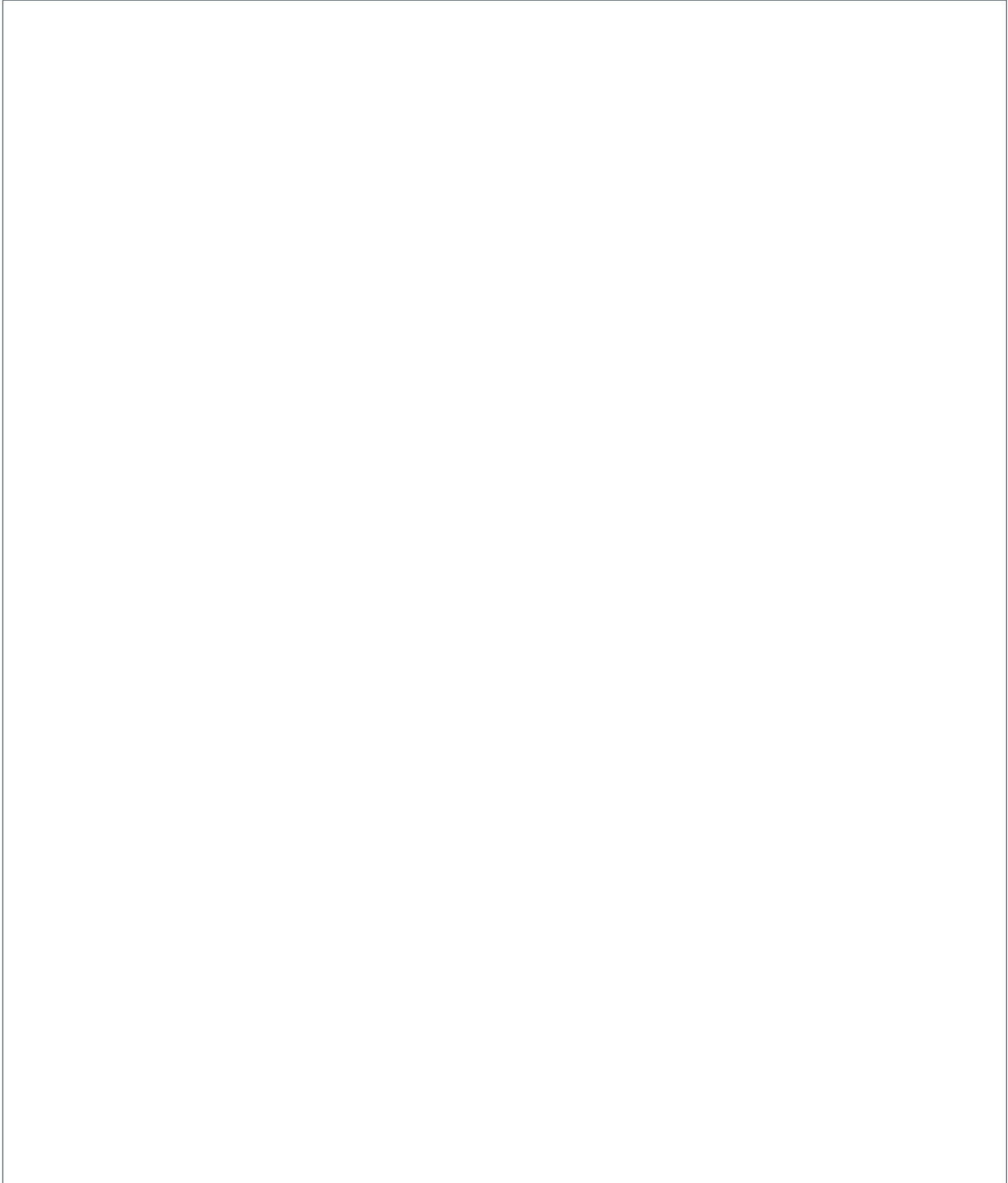
Status: Settled

Status Date: 11/06/1998

Settlement Amount: \$145,000.00

Individual Contribution Amount:

Broker Statement DEAN WITTER SETTLED THE MATTER WITH THE CLAIMANT FOR \$145,000
MARK LOFTUS WAS NOT ASKED TO CONTRIBUTE TOWARD THE SETTLEMENT.





End of Report

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