



## IAPD Report

# MARK ALLAN ANDERSON

CRD# 1807476

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



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 ALLAN ANDERSON (CRD# 1807476)

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 **12/06/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LAKESIDE NORTH CAPITAL ADVISORS, LLC	CRD# 238789	07/17/2015
IA	FORT POINT CAPITAL PARTNERS LLC	CRD# 146759	06/02/2016

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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
IA	OKLO FINANCIAL, LLC	127435	SAN RAFAEL, CA	11/18/2003 - 12/10/2014

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
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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **FORT POINT CAPITAL PARTNERS LLC**

Main Address: 275 SACRAMENTO STREET  
8TH FLOOR  
SAN FRANCISCO, CA 94111

Firm ID#: 146759

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	06/02/2016
IA Texas	Investment Adviser Representative	Restricted Approval	12/13/2023

#### Branch Office Locations

**FORT POINT CAPITAL PARTNERS LLC**

275 SACRAMENTO STREET  
8TH FLOOR  
SAN FRANCISCO, CA 94111

#### Employment 2 of 2

Firm Name: **LAKESIDE NORTH CAPITAL ADVISORS, LLC**

Main Address: SONOMA, CA  
Firm ID#: 238789

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	07/17/2015

#### Branch Office Locations

**LAKESIDE NORTH CAPITAL ADVISORS, LLC**

4040 CIVIC CENTER DRIVE  
SUITE 200  
SAN RAFAEL, CA 94903



## 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.

No information reported.

### 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
IA	11/18/2003 - 12/10/2014	OKLO FINANCIAL, LLC	CRD# 127435	SAN RAFAEL, CA

### 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
06/2016 - Present	Fort Point Capital Partners	Managing Director	Y	San Francisco, CA, United States
05/2015 - Present	LAKESIDE NORTH CAPITAL ADVISORS, LLC	CEO	Y	SAN RAFAEL, 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) Mr. Anderson is an owner and investment adviser representative (IAR) of Lakeside North Capital Advisors, LLC, a California state registered investment adviser. Mr. Anderson may provide investment advice to clients of Lakeside North in his capacity as an IAR. These investment advisory activities are separate from the investment advisory activities Mr. Anderson conducts for Fort Point and Fort Point clients, ~ 5 hours per month.
- 2) NOB: Mark A. Anderson, CFP. TITLE: Expert Witness. Start Date: 11/09/2016. Non-Investment Related. Duties: Opine regarding the change in value of an investment portfolio during a given time period.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	AMERICAN INVESTORS COMPANY
<b>Allegations:</b>	CLIENT ALLEGED THAT REPRESENTATIVE DID NOT INFORM HER OF THE DEFERRED SALES CHARGE ASSOCIATED WITH THE PURCHASE OF A NEW VARIABLE ANNUITY PRODUCT AND THAT SHE WAS TOLD IT WAS A LIQUID INVESTMENT. CONTRACT WAS ISSUED MAY 10, 2007.
<b>Product Type:</b>	Annuity(ies) - Variable
<b>Alleged Damages:</b>	\$16,458.41

### Customer Complaint Information

**Date Complaint Received:** 10/03/2007

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 11/13/2007

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE CLIENT INITIALLY STATED THAT HER PRIMARY OBJECTIVE WAS TO DEVELOP AN INVESTMENT PLAN THAT WOULD PROVIDE HER WITH SUFFICIENT LONG-TERM INCOME WHICH WOULD ALLOW HER TO RETIRE COMFORTABLE. SHE WAS AWARE OF THE DEFERRED SALES CHARGE ASSOCIATED WITH THE PRODUCT AS EVIDENCED BY HER SIGNATURE ON



AN ACKNOWLEDGEMENT. THE REP DID NOT SAY, IMPLY OR INDICATE THAT THE INVESTMENT WAS LIQUID. AT NO TIME DID THE CLIENT STATE OR INDICATE THAT SHE PLANNED ON SPENDING PRINCIPAL.

### Disclosure 2 of 3

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** WM FINANCIAL SERVICES, INC.  
**Allegations:** CLIENT APPEARS TO BE ALLEGING POOR PERFORMANCE OF THE INVESTMENTS PURCHASED IN DECEMBER OF 1999, THUS MAKING THEM UNSUITABLE.  
**Product Type:** Unit Investment Trust(s)  
**Alleged Damages:** \$21,224.62

### Customer Complaint Information

**Date Complaint Received:** 04/02/2003  
**Complaint Pending?** No  
**Status:** Denied  
Settled  
**Status Date:** 02/09/2005  
**Settlement Amount:** \$18,093.00  
**Individual Contribution Amount:** \$0.00  
**Firm Statement** ORIGINAL COMPLAINT DENIED; SETTLED IN MEDIATION.

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** WM FINANCIAL SERVICES  
**Allegations:** CLIENT ALLEGES POOR PERFORMANCE OF INVESTMENTS PURCHASED IN DECEMBER 1999, THUS MAKING THEM UNSUITABLE  
**Product Type:** Unit Investment Trust(s)  
**Alleged Damages:** \$21,224.62

### Customer Complaint Information

**Date Complaint Received:** 04/02/2003  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 07/01/2004  
**Settlement Amount:** \$18,093.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** EMPLOYING FIRM (AT THE TIME ACTIVITY OCCURRED) DETERMINED ALL



DOCUMENTS APPEAR TO BE IN GOOD ORDER, TRADE APPEARS SUITABLE, FULL & FAIR DISCLOSURE APPEARS TO HAVE BEEN MADE. COMPLAINT WAS ORIGINALLY DENIED ON 5/12/2003. CLIENT THEN REQUESTED MEDIATION ON 7/1/2004. SETTLED IN MEDIATION ON 2/4/2005 FOR \$18,093. AS A GESTURE OF GOODWILL, WITH NO ADMISSION OF WRONG DOING EXPRESSED BY VIRTUE OF SETTLEMENT, WM FINANCIAL SECURITIES, INC. AGREED TO PAY CLAIMANT. THERE WAS NO INDIVIDUAL CONTRIBUTION BY MARK A. ANDERSON.

### Disclosure 3 of 3

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** WM FINANCIAL SERVICES, INC.  
**Allegations:** CLIENT PURCHASED INVESTMENTS ON MARCH 6, 2001 AND HAS EXPERIENCED A MARKET LOSS. CLIENT ALLEGES THE INVESTMENTS WERE INAPPROPRIATE.  
**Product Type:** Unit Investment Trust(s)  
**Alleged Damages:** \$40,179.00

### Customer Complaint Information

**Date Complaint Received:** 12/19/2001  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 01/30/2002  
**Settlement Amount:** \$0.00  
**Individual Contribution Amount:** \$0.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD CASE NUMBER 03-04278  
**Date Notice/Process Served:** 06/27/2003  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 04/21/2004  
**Monetary Compensation Amount:** \$22,000.00  
**Individual Contribution Amount:** \$0.00  
**Firm Statement** BASED UPON THE FINANCIAL INFORMATION AND OBJECTIVES PROVIDED BY THE CLIENT, THE INVESTMENT PURCHASED APPEARS SUITABLE. THE DOCUMENTATION SIGNED BY THE CLIENT INDICATES FULL AND FAIR DISCLOSURE WAS PROVIDED.

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:**

WM FINANCIAL SERVICES, INC.

**Allegations:**

CLIENT PURCHASED INVESTMENTS ON MARCH 6, 2000 AND HAS EXPERIENCED A MARKET LOSS. CLIENT ALLEGES THE INVESTMENTS WERE INAPPROPRIATE.

**Product Type:**

Unit Investment Trust(s)

**Alleged Damages:**

\$46,000.00

### Customer Complaint Information

**Date Complaint Received:** 12/19/2001

**Complaint Pending?** No

**Status:** Arbitration/Reparation  
Denied

**Status Date:** 01/30/2002

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD CASE NUMBER 03-04278

**Date Notice/Process Served:** 06/27/2003

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/20/2004

**Monetary Compensation Amount:** \$22,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**  
BASED ON THE FINANCIAL INFORMATION AND OBJECTIVES PROVIDED BY THE CLIENT, THE EMPLOYING BROKER-DEALER AT THE TIME OF THE EVENT DETERMINED THAT THE PURCHASE APPEARED SUITABLE. THEY STATED THAT THE DOCUMENTATION SIGNED BY THE CLIENT INDICATED THAT FULL AND FAIR DISCLOSURE WAS PROVIDED.

COMPLAINT SETTLED IN MEDIATION. AS A GESTURE OF GOODWILL, WITH NO ADMISSION OF WRONG DOING EXPRESSED BY VIRTUE OF SETTLEMENT, WM FINANCIAL SECURITIES INC. AGREED TO PAY CLAIMANT. THERE WAS NO INDIVIDUAL CONTRIBUTION BY MARK A. ANDERSON.



## End of Report

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