User Guidance

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IAPD Report

MARK EDWARD ENGLE

CRD# 1962431

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 EDWARD ENGLE (CRD# 1962431)

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 **03/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LPL FINANCIAL LLC	CRD# 6413	08/20/2020
B	LPL FINANCIAL LLC	CRD# 6413	08/20/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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	USADVISORS WEALTH MANAGEMENT, LLC	158108	MONONA, WI	08/26/2015 - 08/24/2020
B	SECURITIES AMERICA, INC.	10205	MADISON, WI	07/20/2009 - 08/24/2020
IA	SECURITIES AMERICA ADVISORS, INC.	110518	MONONA, WI	07/20/2009 - 09/15/2015

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
Judgment/Lien	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 **31** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/20/2020
B	Arizona	Agent	Approved	09/15/2020
B	Arkansas	Agent	Approved	08/25/2020
B	California	Agent	Approved	09/15/2020
B	Colorado	Agent	Approved	09/08/2020
B	Connecticut	Agent	Approved	09/15/2020
B	District of Columbia	Agent	Approved	01/23/2026
B	Florida	Agent	Approved	09/15/2020
B	Georgia	Agent	Approved	09/15/2020
B	Idaho	Agent	Approved	09/15/2020
B	Illinois	Agent	Approved	08/27/2020
B	Indiana	Agent	Approved	08/26/2020
B	Iowa	Agent	Approved	08/20/2020

Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	11/03/2023
B	Kentucky	Agent	Approved	09/15/2020
B	Maine	Agent	Approved	08/20/2020
B	Maryland	Agent	Approved	03/30/2023
B	Massachusetts	Agent	Approved	08/24/2020
B	Minnesota	Agent	Approved	08/20/2020
B	New Hampshire	Agent	Approved	09/15/2020
B	New Mexico	Agent	Approved	01/07/2025
B	New York	Agent	Approved	09/15/2020
B	Oregon	Agent	Approved	08/20/2020
B	Pennsylvania	Agent	Approved	11/06/2020
B	South Carolina	Agent	Approved	01/06/2021
B	South Dakota	Agent	Approved	04/08/2021
B	Tennessee	Agent	Approved	08/20/2020
B	Texas	Agent	Approved	09/15/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	04/07/2021
B	Virginia	Agent	Approved	04/24/2021
B	Washington	Agent	Approved	02/08/2021

Qualifications

	Regulator	Registration	Status	Date
B	Wisconsin	Agent	Approved	08/20/2020
IA	Wisconsin	Investment Adviser Representative	Approved	08/20/2020
B	Wyoming	Agent	Approved	08/20/2020

Branch Office Locations

LPL FINANCIAL LLC
2800 ROYAL AVE STE 204
MADISON, WI 53713

LPL FINANCIAL LLC
1205 JOSEPH STREET
DODGEVILLE, WI 53533

LPL FINANCIAL LLC
944 WILLIAMSON STREET
MADISON, WI 53703

LPL FINANCIAL LLC
105 ENTERPRISE DR.
VERONA, WI 53593

LPL FINANCIAL LLC
1000 IHM STREET
LANCASTER, WI 53813

LPL FINANCIAL LLC
1520 E. BUSINESS HIGHWAY 151
PLATTEVILLE, WI 53818

LPL FINANCIAL LLC
120 VINBURN ROAD
DEFOREST, WI 53532

LPL FINANCIAL LLC
5325 HIGH CROSSING BLVD
MADISON, WI 53718

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	07/05/2000
B	General Securities Principal Examination (S24)	Series 24	01/29/1993

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	06/17/1989

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/02/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/21/1989

PROFESSIONAL DESIGNATIONS

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

No information reported.

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
IA	08/26/2015 - 08/24/2020	USADVISORS WEALTH MANAGEMENT, LLC	CRD# 158108	MONONA, WI
B	07/20/2009 - 08/24/2020	SECURITIES AMERICA, INC.	CRD# 10205	MADISON, WI
IA	07/20/2009 - 09/15/2015	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	MONONA, WI
IA	10/23/2003 - 07/08/2009	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	MADISON, WI
B	10/10/2003 - 07/08/2009	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	MADISON, WI
B	04/03/1998 - 08/14/2003	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	04/25/1994 - 04/03/1998	AEGON USA SECURITIES INC.	CRD# 13302	CEDAR RAPIDS, IA
B	06/03/1991 - 04/29/1994	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	08/06/1990 - 06/17/1991	OFFERMAN & CO., INC.	CRD# 345	MINNEAPOLIS, MN
B	06/20/1989 - 10/18/1990	BLINDER, ROBINSON & CO., INC.	CRD# 5096	

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
08/2020 - Present	LPL Financial LLC	REGISTERED REPRESENTATIVE	Y	Madison, WI, United States
08/2015 - 08/2020	USADVISORS WEALTH MANAGEMENT, LLC	IAR	Y	MONONA, WI, United States
07/2009 - 08/2020	SECURITIES AMERICA ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	LA VISTA, NE, 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) 6/2009 - DBA for LPL Business (entity for LPL business) - Engle Tyler & Associates - Investment Related - Madison, WI 53713

2) 1/1992 - Non-Variable Insurance - Mark Engle - Investment Related - Madison, WI 53713

3) 1/6/2021 - Heartland Investment Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 1/4/2021- 80 Hours Per Month/80 Hours During Securities Trading.

4) 10/03/2023 - Banner Life - Non-Variable Insurance - Agent Producer - Investment Related - At Reported Business Location(s) - Start Date 09/11/2023 - 1 Hour Per Month/ During 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
Judgment/Lien	1

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:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Customer alleges that she was placed in unsuitable investments in January 2022 which she liquidated herself in November 2023.
Product Type:	Unit Investment Trust
Alleged Damages:	$20,000.00
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:	12/11/2023
Complaint Pending?	No
Status:	Denied
Status Date:	03/06/2024
Settlement Amount:	
Individual Contribution Amount:	

Broker Statement	The client invested in High Quality tax-free fixed income with a 5 year time horizon. After the unprecedented rapid increase in interest rates initiated by the Federal Reserve the account declined in value. Despite the fact that there was no change in the client's objectives, financial condition, and time horizon she chose to redeem her investment less than two years after her initial position and she would not have suffered losses had she maintained the positions.

Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FINANCIAL NETWORK INVESTMENT CORPORATION
Allegations:	CLIENT STATES THAT THE MONIES SHE RECEIVED FROM AN INHERITED PENSION WERE NOT ELIGIBLE TO BE DEPOSITED INTO AN IRA ROLLOVER ACCOUNT WHICH THE REPRESENTATIVE OPENED AND THAT A DECEASED/INHERITED IRA SHOULD HAVE BEEN ESTABLISHED.
Product Type:	Annuity-Variable
Alleged Damages:	$16,764.88
Alleged Damages Amount Explanation (if amount not exact):	THIS AMOUNT IS CALCULATED AS OF JUNE 30, 2009.
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:	09/18/2009
Complaint Pending?	No
Status:	Settled
Status Date:	12/29/2009
Settlement Amount:	$10,746.44
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FINANCIAL NETWORK INVESTMENT CORPORATION
Allegations:	CLIENT STATES THAT THE MONIES SHE RECEIVED FROM AN INHERITED PENSION WERE NOT ELIGIBLE TO BE DEPOSITED INTO AN IRA ROLLOVER ACCOUNT WHICH THE REPRESENTATIVE OPENED, AND THAT A DECEASED/INHERITED IRA SHOULD HAVE BEEN ESTABLISHED.
Product Type:	Annuity-Variable
Alleged Damages:	$16,767.88

Alleged Damages Amount Explanation (if amount not exact):	THIS AMOUNT IS CALCULATED AS OF JUNE 30, 2009.
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:	10/05/2009
Complaint Pending?	No
Status:	Settled
Status Date:	01/13/2010
Settlement Amount:	$10,746.44
Individual Contribution Amount:	$0.00

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FINANCIAL NETWORK INVESTMENT CORPORATION
Allegations:	CLIENTS ALLEGE THAT THEY WERE CHARGED EXCESSIVE FEES AND THAT REPRESENTATIVE DID NOT DISCLOSE IN DOLLAR TERMS WHAT FEES THEY WERE BEING CHARGED FROM MAY OF 2006 THRU JULY OF 2009.
Product Type:	Unit Investment Trust
Alleged Damages:	$250,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENTS ALLEGE THAT THEY PAID "SOMETHING LIKE $250,000 IN FEES." THE FIRM HAS CALCULATED THAT THE CLIENT'S PAID APPROX $7545.99 FOR ALL ACCOUNTS FROM 04/06 TO 07/09.
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:	09/08/2009
Complaint Pending?	No
Status:	Settled
Status Date:	12/03/2009
Settlement Amount:	$4,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FINANCIAL NETWORK INVESTMENT CORPORATION
Allegations:	CLIENTS ALLEGE THAT THEY WERE CHARGED EXCESSIVE FEES AND THAT REPRESENTATIVE DID NOT DISCLOSE IN DOLLAR TERMS WHAT FEES THEY WERE BEING CHARGED FROM MAY OF 2006 THRU JULY OF 2009.
Product Type:	Unit Investment Trust
Alleged Damages:	$250,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENTS ALLEGE THAT THEY PAID "SOMETHING LIKE $250,000 IN FEES." THE FIRM HAS CALCULATED THAT THE CLIENTS' PAID APPROX. $7,545.99 FOR ALL ACCOUNTS FROM 4/06 TO 07/09.
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:	09/23/2009
Complaint Pending?	No
Status:	Settled
Status Date:	12/03/2009
Settlement Amount:	$4,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE ALLEGATIONS ARE PATENTLY INACCURATE AND THE ACCOUNT RECORDS PROVE IT. FEES WERE EXPLICITLY DISCLOSED AND REPRESENTED A COMPARATIVE VALUE OVER THE PREVIOUS ACCOUNT. ALTHOUGH THE CLIENT INITIALLY WANTED A LONG TERM INVESTMENT STRATEGY, THEY DEMANDED THAT IT BE ABANDONED. THE CLIENT NEVER INFORMED ME THAT THIS WAS NOT A TEMPORARY MOVE, INSTEAD THEY IGNORED AND REBUFFED MY FURTHER ATTEMPTS TO SUGGEST OTHER INVESTMENTS. I NEVER SUGGESTED OR HAD DISCRETION TO IMPLEMENT THESE SUGGESTIONS WITHOUT THEIR CONSENT.

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WALNUT STREET SECURITIES, AEGON USA
Allegations:	BREACH OF FIDUCIARY DUTY 1994-2001
Product Type:	Other
Other Product Type(s):	INDIVIDUAL STOCKS
Alleged Damages:	$385,000.00

Customer Complaint Information

Date Complaint Received:	08/15/2000
Complaint Pending?	No
Status:	Arbitration/Reparation Litigation Settled
Status Date:	04/15/2002
Settlement Amount:	$145,000.00
Individual Contribution Amount:	$2,500.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD, #01-06714
Date Notice/Process Served:	10/01/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/01/2001
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Court Details:	DANE COUNTY
Date Notice/Process Served:	08/15/2000
Litigation Pending?	No
Disposition:	Other
Disposition Date:	05/01/2001
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	ALL OF THESE DISCLOSURES REFER TO THE SAME COMPLAINT AND DISPOSITION OF THAT COMPLAINT. ALTHOUGH SETTLED OUT OF COURT IT WAS ORIGINALLY A CIVIL LIGIGATION THAT WAS DISMISSED AND RE-FILED A NASD ARBITRATION.

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	$198,247.10
Judgment/Lien Type:	Tax
Date Filed with Court:	07/31/2025
Date Individual Learned:	09/03/2025
Type of Court:	Federal Court
Name of Court:	Wisconsin Circuit Court
Location of Court:	DANE, WI
Docket/Case #:	520357925
Judgment/Lien Outstanding?	Yes

End of Report

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