



IAPD Report

MARC ANDRE GEELS

CRD# 2191580

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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

MARC ANDRE GEELS (CRD# 2191580)

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 **12/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **30** 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	SECURITIES AMERICA ADVISORS, INC.	110518	SIOUX CITY, IA	02/14/2006 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	SIOUX CITY, IA	02/01/2006 - 06/14/2024
IA	1717 CAPITAL MANAGEMENT COMPANY	4082	SIOUX CITY, IA	09/25/1997 - 02/02/2006

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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/14/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024
B	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
B	Colorado	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
IA	Florida	Investment Adviser Representative	Approved	06/14/2024
B	Georgia	Agent	Approved	06/14/2024
B	Idaho	Agent	Approved	06/14/2024
B	Illinois	Agent	Approved	06/14/2024
B	Indiana	Agent	Approved	06/14/2024
B	Iowa	Agent	Approved	06/14/2024
IA	Iowa	Investment Adviser Representative	Approved	06/14/2024



Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	06/14/2024
B	Michigan	Agent	Approved	06/14/2024
B	Minnesota	Agent	Approved	06/14/2024
B	Missouri	Agent	Approved	06/14/2024
B	Montana	Agent	Approved	06/14/2024
B	Nebraska	Agent	Approved	06/14/2024
B	Nevada	Agent	Approved	06/14/2024
B	New Jersey	Agent	Approved	06/14/2024
B	New Mexico	Agent	Approved	06/14/2024
B	North Carolina	Agent	Approved	06/14/2024
B	North Dakota	Agent	Approved	06/14/2024
B	Oklahoma	Agent	Approved	06/14/2024
B	Oregon	Agent	Approved	06/14/2024
B	Pennsylvania	Agent	Approved	06/14/2024
B	South Carolina	Agent	Approved	06/14/2024
B	South Dakota	Agent	Approved	06/14/2024
IA	South Dakota	Investment Adviser Representative	Approved	06/14/2024
B	Texas	Agent	Approved	06/14/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	06/14/2024



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	06/14/2024
B Washington	Agent	Approved	06/14/2024
B Wisconsin	Agent	Approved	06/14/2024
B Wyoming	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
5764 SUNNYBROOK DR.
SIOUX CITY, IA 51106

OSAIC WEALTH, INC.
5024 S. BUR OAK PLACE, STE 106
SIOUX FALLS, SD 57108



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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/24/1995
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/06/1992

State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	02/01/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/06/1992

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
IA	02/14/2006 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	SIOUX CITY, IA
B	02/01/2006 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	SIOUX CITY, IA
IA	09/25/1997 - 02/02/2006	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	SIOUX CITY, IA
B	12/16/1992 - 02/02/2006	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	01/13/1992 - 01/01/1993	FIDELITY EQUITY SERVICES CORPORATION	CRD# 17455	

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
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SIOUX CITY, IA, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SIOUX CITY, IA, United States
12/1992 - Present	PROVIDENT MUTUAL	OTHER - AGENT/BROKER	N	PHILA, PA, United States
02/1986 - Present	EFS GROUP LLC	PARTNER	Y	SIOUX CITY, IA, United States
02/2006 - 06/2024	SECURITIES AMERICA ADVISORS, INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SIOUX CITY, IA, United States
02/2006 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	SIOUX CITY, IA, 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. EFS WEALTH MANAGEMENT

POSITION: OWNER/ CEO NATURE: EFS WEALTH MANAGEMENT, INC - OPERATING ENTITY FOR FINANCIAL PURPOSES AND INSURANCE SALES - GENERAL AGENT - ACCOUNTING AND PAYROLL FOR FINANCIAL FIRM. INCOME AND



Registration & Employment History



OTHER BUSINESS ACTIVITIES

EXPENSES, EMPLOYEE BENEFITS AND OTHER GENERAL OPERATIONAL PURPOSES INVESTMENT RELATED: Yes
NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 01/01/2016 ADDRESS: 5764 Sunnybrook Drive,
Sioux City IA 51106 DESCRIPTION: DBA name and operational entity for insurance and financial services.

2. EFS GROUP

POSITION: owner NATURE: EFS GROUP LLC - INSURANCE SALES - AGENT INVESTMENT RELATED: Yes NUMBER OF
HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 06/01/1992
ADDRESS: 5764 Sunnybrook drive, Sioux city IA 5110
DESCRIPTION: Insurance in relation to retirement planning and financial planning

3. WEALTH PLAN PARTNERS

POSITION: Owner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10
START DATE: 09/20/2024
ADDRESS: 101 South 108th Avenue, Omaha NE 68154, United States
DESCRIPTION: Help set direction of company, help set goals and initiatives, policies, procedures.

4. EFS WEALTH MANAGEMENT

POSITION: OWNER/ CEO NATURE: EFS WEALTH MANAGEMENT DBA name INVESTMENT RELATED: Yes NUMBER OF
HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 01/01/2016
ADDRESS: 5764 Sunnybrook Drive, Sioux City IA 51106, United States
DESCRIPTION: DBA name and operational entity for insurance and financial services.

5. EFS GROUP

POSITION: owner NATURE: EFS GROUP LLC - INSURANCE SALES - AGENT - INVESTMENT RELATED - START DATE:
06/1992 - LOCATED AT 5764 Sunnybrook Drive - SIOUX CITY IA - TIME SPENT: 10% INVESTMENT RELATED: Yes NUMBER
OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 06/01/1992
ADDRESS: 5764 sunnybrook drive, sioux city IA 51106, United States
DESCRIPTION: Insurance in relation to retirement planning and financial planning



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:	IOWA INSURANCE DEPARTMENT
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	04/06/2005
Docket/Case Number:	DIVISION FILE #50290
Employing firm when activity occurred which led to the regulatory action:	1717 CAPITAL MANAGMENT
Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	
Allegations:	THE REPRESENTATIVE WAS FOUND TO HAVE VIOLATED IOWA ADMINISTRATIVE RULE 191-15.3(1). THIS RULE REQUIRES THAT AN ADVERTISEMENT BE TRUTHFUL AND SUFFICIENTLY COMPLETE AND CLEAR TO AVOID DECEPTION OR THE CAPACITY OR TENDENCY TO MISREPRESENT OR DECEIVE.
Current Status:	Final
Resolution:	Order
Resolution Date:	12/07/2005
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	REIMBURSEMENT OF \$500.00 TO IOWA INSURANCE DEPARTMENT FOR COSTS INCURRED



Sanction Details:

\$500.00 REIMBURSEMENT FOR COST PAID 10/26/05

Broker Statement

ADVERTISEMENT WAS INCOMPLETE AND FAILED TO STATE THAT THERE
COULD BE POSSIBLE SURRENDER CHARGES INCURRED.



End of Report

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