IAPD Report

MARK WILLIAM GOLDBERG

CRD# 223978

Section Title	Page(s)

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 WILLIAM GOLDBERG (CRD# 223978)

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 **02/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	11/29/2017
IA	GATEWAY WEALTH PARTNERS, LLC	CRD# 322789	09/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	LPL FINANCIAL LLC	6413	FORT MILL, SC	11/29/2017 - 09/05/2023
IA	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	GLASTONBURY, CT	02/11/2003 - 12/05/2017
B	NATIONAL PLANNING CORPORATION	29604	GLASTONBURY, CT	02/07/2003 - 11/29/2017

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
Customer Dispute	2

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

Employment 1 of 2

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 Principal	Approved	11/29/2017
B	FINRA	General Securities Representative	Approved	11/29/2017
B	FINRA	Invest. Co and Variable Contracts	Approved	11/29/2017
B	Alaska	Agent	Approved	11/29/2017
B	Connecticut	Agent	Approved	11/29/2017
B	Florida	Agent	Approved	12/08/2017
B	Kansas	Agent	Approved	02/02/2022
B	Maine	Agent	Approved	11/29/2017
B	Massachusetts	Agent	Approved	11/29/2017
B	New Hampshire	Agent	Approved	06/15/2021
B	New Jersey	Agent	Approved	11/29/2017
B	New York	Agent	Approved	09/13/2019
B	North Carolina	Agent	Approved	11/29/2017

Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	02/17/2026
B	Rhode Island	Agent	Approved	11/29/2017
B	South Carolina	Agent	Approved	01/09/2019

Branch Office Locations

LPL FINANCIAL LLC
455 WINDING BROOK DRIVE
GLASTONBURY, CT 06033

Employment 2 of 2

Firm Name: **GATEWAY WEALTH PARTNERS, LLC**

Main Address: 100 W. LAWRENCE STREET
SUITE 304
APPLETON, WI 54911

Firm ID#: 322789

	Regulator	Registration	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	09/29/2023

Branch Office Locations

GATEWAY WEALTH PARTNERS, LLC
455 Winding Brook Dr.
Glastonbury, CT 06033

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/20/1990

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Registered Representative Examination (S1)	Series 1	06/27/1968

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/18/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/29/1983

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	11/29/2017 - 09/05/2023	LPL FINANCIAL LLC	CRD# 6413	FORT MILL, SC
IA	02/11/2003 - 12/05/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	GLASTONBURY, CT
B	02/07/2003 - 11/29/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	GLASTONBURY, CT
IA	05/21/1997 - 02/10/2003	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	GLASTONBURY, CT
B	02/24/1995 - 02/10/2003	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	06/07/1991 - 01/26/1995	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	05/02/1983 - 05/28/1991	CNA INVESTOR SERVICES, INC.	CRD# 7360	PLANO, TX
B	05/03/1977 - 01/10/1983	PML SECURITIES COMPANY	CRD# 4082	
B	07/05/1968 - 04/30/1977	MARK SECURITIES, INC.	CRD# 555	

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
09/2023 - Present	Gateway Wealth Partners, LLC	Investment Adviser Representative	Y	Glastonbury, CT, United States
03/2022 - Present	NUTMEG STATE FINANCIAL CREDIT UNION	FINANCIAL CONSULTANT	Y	GLASTONBURY, CT, United States
11/2017 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	GLASTONBURY, CT, United States
11/2017 - 09/2023	LPL FINANCIAL LLC dba Gateway Financial Partners	Investment Adviser Representative	Y	Glastonbury, CT, United States
09/1995 - 04/2019	CAMP HORIZONS INC	BOARD MEMBER	N	SOUTH WINDAM, CT, United States
02/2003 - 11/2017	NATIONAL PLANNING CORPORATION	REGISTERED REPRESENTATIVE	Y	GLASTONBURY, CT, 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. 11/29/2017 - GATEWAY FINANCIAL PARTNERS - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date 1994 - 160 Hours Per Month/40 Hours During Securities Trading.

2. 10/30/2023 - Gateway Wealth Partners - Inv Related - At Reported Business Location(s) - Registered Investment Advisor - IAR - Start Date: 10/25/2023 - 80 Hrs/Mo; 4 hrs During trading - I provide investment advisory services through Gateway Wealth Partners, LLC, an independent investment advisor firm. I started this business activity in 10/2023. I expect to spend approximately 80 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at http://www.adviserinfo.sec.gov/IAPD. The firm is separate from and independent of LPL Financial.

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
Customer Dispute	2

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:	CONNECTICUT DEPT. OF INSURANCE
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	FIVE YEAR PROBATION WITH A ONE MONTH SUSPENSION STAYED DURING THE PROBATION PERIOD.
Date Initiated:	09/29/1989
Docket/Case Number:	CV-83-02873755
Employing firm when activity occurred which led to the regulatory action:	SELF EMPLOYED INSURANCE AGENT - REGISTERED WITH PML SECURITIES
Product Type:	Other
Other Product Type(s):	MEDICAL INSURANCE
Allegations:	THE STATE OF CONNECTICUT INSURANCE DEPARTMENT ALLEDGED THAT THE MEDICAL PLAN THAT I WAS SELLING AND ADMINISTRATING WAS ILLEGAL BECAUSE THERE WAS NO EMPLOYER/EMPLOYEE RELATIONSHIP.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	09/28/1994
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	FIVE YEAR PROBATION.

Sanction Details:	ONE MONTH SUSPENSION WAS ORDERED AS PART OF A NEGOTIATED SETTLEMENT, BUT THE EXECUTION OF THAT SUSPENSION WAS STAYED FOR FIVE YEARS. THE SUSPENSION WAS NEVER EXECUTED AFTER THE FIVE YEAR PROBATION DUE TO A CLEAN RECORD DURING THE PROBATION PERIOD (AS STATED IN THE SETTLEMENT.) FILE WAS THEN EXPUNGED AT THE STATE OF CONNECTICUT DEPARTMENT OF INSURANCE (AS STATED IN THE SETTLEMENT AGREEMENT.)

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NATIONAL PLANNING CORPORATION
Allegations:	CLAIMANT ALLEGES MARKET LOSS DUE TO UNSUITABLE INVESTMENT.
Product Type:	Other: THIRD PARTY ASSET MANAGED ACCOUNT
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	BASED ON A GOOD FAITH DETERMINATION, DAMAGES ARE BELIEVED TO BE GREATER THAN $5,000.
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:	02/23/2011
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/13/2011
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NATIONAL PLANNING CORPORATION
Allegations:	CLAIMANT ALLEGES NEGLIGENCE AND BREACH OF CONTRACT.
Product Type:	No Product
Alleged Damages:	$46,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC	No

reparation or civil litigation?

Customer Complaint Information

Date Complaint Received:	09/09/2009
Complaint Pending?	No
Status:	Withdrawn
Status Date:	06/22/2010
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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