IAPD Report

MARK BRIAN DEGNER

CRD# 2364726

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 BRIAN DEGNER (CRD# 2364726)

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 **05/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	10/06/2025
IA	OSAIC WEALTH, INC.	CRD# 23131	10/06/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Medford, OR	03/31/2017 - 10/08/2025
IA	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Medford, OR	03/31/2017 - 10/08/2025
IA	LPL FINANCIAL LLC	6413	MEDFORD, OR	04/23/2003 - 04/11/2017

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

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 **18** 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 Principal	Approved	10/06/2025
B	FINRA	General Securities Representative	Approved	10/06/2025
B	Alabama	Agent	Approved	10/06/2025
B	Arizona	Agent	Approved	10/06/2025
B	California	Agent	Approved	10/06/2025
B	Colorado	Agent	Approved	10/06/2025
B	Florida	Agent	Approved	10/06/2025
B	Idaho	Agent	Approved	10/08/2025
B	Iowa	Agent	Approved	10/15/2025
B	Minnesota	Agent	Approved	10/06/2025
B	Nevada	Agent	Approved	10/10/2025
B	North Carolina	Agent	Approved	10/10/2025
B	Oregon	Agent	Approved	10/06/2025

Qualifications

	Regulator	Registration	Status	Date
IA	Oregon	Investment Adviser Representative	Approved	10/09/2025
B	Pennsylvania	Agent	Approved	10/06/2025
B	South Carolina	Agent	Approved	10/16/2025
B	Texas	Agent	Approved	10/06/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	10/06/2025
B	Utah	Agent	Approved	10/06/2025
B	Virginia	Agent	Approved	10/06/2025
B	Washington	Agent	Approved	10/06/2025
B	Wyoming	Agent	Approved	10/06/2025

Branch Office Locations

OSAIC WEALTH, INC.
1200 Mira Mar Ave
Medford, OR 97504

OSAIC WEALTH, INC.
3369 Crater Lake Hwy
Suite 101
Medford, OR 97504

OSAIC WEALTH, INC.
SHADY COVE, OR

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/01/1999

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	07/07/1993

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/25/2003
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/09/1993
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/09/1993

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
B	03/31/2017 - 10/08/2025	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Medford, OR
IA	03/31/2017 - 10/08/2025	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Medford, OR
IA	04/23/2003 - 04/11/2017	LPL FINANCIAL LLC	CRD# 6413	MEDFORD, OR
B	02/26/1999 - 04/11/2017	LPL FINANCIAL LLC	CRD# 6413	MEDFORD, OR
B	04/24/1995 - 03/02/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	07/31/1993 - 03/09/1995	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	07/08/1993 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, 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
10/2025 - Present	Osaic Wealth	Registered Representative	Y	Medford, OR, United States
03/2020 - 10/2025	Ameriprise Financial Services, LLC	Registered Rep	Y	Medford, OR, United States
03/2017 - 03/2020	Ameriprise Financial Services Inc	Registered Representative	Y	Medford, OR, United States
02/1999 - 03/2017	LPL Financial, LLC (Formerly: LINSCO/PRIVATE LEDGER CORP.)	Registered Representative	Y	MEDFORD, OR, 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. MBD PROPERTIES LLC
POSITION: 100% shareholder NATURE: a LLC formed to hold real estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 08/01/2016
ADDRESS: 3369 Crater Lake Hwy, PO box 1585, Medford OR 97504, United States

Registration & Employment History

OTHER BUSINESS ACTIVITIES

DESCRIPTION: a shell LLC to hold properties. each property has been separately disclosed as a OBA

2. MILL CREEK DR
POSITION: sole proprietor NATURE: sole proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2023
ADDRESS: Mill Creek Dr, PO box 1585, Prospect OR 97539, United States
DESCRIPTION: oversee bare property and developing a homesite

3. MARK DEGNER
POSITION: owner NATURE: Sole proprietorship, rental single family residence. INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 08/01/2005
ADDRESS: 83 Kee Lane, PO box 1585, Shady Cove OR 97539, United States
DESCRIPTION: oversee property as landlord

4. MARK DEGNER
POSITION: owner NATURE: Sole Proprietor INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 12/01/2004
ADDRESS: 3600 Terminal Spur Rd., Medford OR 97504, United States
DESCRIPTION: To oversee the property as the landlord for FedEx, the tenant

5. MARK DEGNER
POSITION: owner NATURE: rental Single family residence INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2017
ADDRESS: 81 Kee Lane, PO Box 1585, Shady Cove OR 97539, United States
DESCRIPTION: oversee property as landlord

6. MARK DEGNER
POSITION: owner NATURE: a commercial warehouse divided into 3 spaces, separately rented INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2017
ADDRESS: 50 Brophy Ln, PO Box 1585, Shady Cove OR 97539, United States
DESCRIPTION: oversee property as landlord

7. C&D CONSTRUCTION
POSITION: 50% partner NATURE: Partnership INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 05/18/2026
ADDRESS: P.O.Box 1585, Shady Cove OR 97539, United States
DESCRIPTION: Funding construction of spec homes. Some oversight of process, but my partner is a general contractor.

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:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	02/06/2018
Docket/Case Number:	2015045703002
Employing firm when activity occurred which led to the regulatory action:	LPL Financial LLC
Product Type:	CD
Allegations:	Without admitting or denying the findings, Degner consented to the sanctions and to the entry of findings that he negligently made material misstatements in connection with the sale of 20-year interest rate-linked certificates of deposit (CDs) to five elderly customers. The findings stated that Degner misrepresented to these customers that their CDs were not subject to any survivor benefit limitations when, in fact, they were. In fact, the survivor benefits of these CDs were subject to a material limitation that restricted the aggregate amount of early redemptions among all purchasers. The issuer's disclosure statement disclosed this limitation. Degner, however, did not review the issuer's disclosure statement prior to selling the CDs. Nevertheless, based on Degner's recommendation, the five customers purchased CDs totaling $685,000. Because of the survivor benefit limitation, the estates of two of the customers were unable to redeem fully their CDs. After Degner learned of the survivor benefit limitation, he informed the remaining three customers of the limitation and they sold their CDs on the secondary market. The five elderly customers or their estates suffered losses of approximately $75,000. Degner's member firm made whole all of the customers for any losses resulting from the CDs.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/06/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	20 business days
Start Date:	03/05/2018
End Date:	04/02/2018

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	03/26/2018
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Fines paid in full on March 26, 2018.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	02/06/2018
Docket/Case Number:	2015045703002

Employing firm when activity occurred which led to the regulatory action:	LPL Financial LLC
Product Type:	CD
Allegations:	Without admitting or denying the findings, Degner consented to the sanctions and to the entry of findings that he negligently made material misstatements in connection with the sale of 20-year interest rate-linked certificates of deposit (CDs) to five elderly customers. The findings stated that Degner misrepresented to these customers that their CDs were not subject to any survivor benefit limitations when, in fact, they were. In fact, the survivor benefits of these CDs were subject to a material limitation that restricted the aggregate amount of early redemptions among all purchasers. The issuer's disclosure statement disclosed this limitation. Degner, however, did not review the issuer's disclosure statement prior to selling the CDs. Nevertheless, based on Degner's recommendation, the five customers purchased CDs totaling $685,000. Because of the survivor benefit limitation, the estates of two of the customers were unable to redeem fully their CDs. After Degner learned of the survivor benefit limitation, he informed the remaining three customers of the limitation and they sold their CDs on the secondary market. The five elderly customers or their estates suffered losses of approximately $75,000. Degner's member firm made whole all of the customers for any losses resulting from the CDs.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/06/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	20
Start Date:	03/05/2018
End Date:	04/02/2018
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	

Was any portion of penalty waived?	No
Amount Waived:	

End of Report

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