



IAPD Report

MARK ALAN GORGE

CRD# 2447392

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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 ALAN GORGE (CRD# 2447392)

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 **04/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/18/2022
IA	LPL FINANCIAL LLC	CRD# 6413	05/18/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	CUNA BROKERAGE SERVICES, INC.	13941	EUREKA, CA	01/23/2014 - 05/18/2022
IA	CUNA BROKERAGE SERVICES, INC.	13941	EUREKA, CA	01/23/2014 - 05/18/2022
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	EUREKA, CA	04/24/2009 - 01/15/2014

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	2
Judgment/Lien	4



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 **15** 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 Principal	Approved	05/18/2022
B	FINRA	General Securities Representative	Approved	05/18/2022
B	Arizona	Agent	Approved	05/18/2022
B	California	Agent	Approved	05/18/2022
IA	California	Investment Adviser Representative	Approved	05/18/2022
B	Colorado	Agent	Approved	05/18/2022
B	Connecticut	Agent	Approved	05/18/2022
B	Idaho	Agent	Approved	05/18/2022
B	Iowa	Agent	Approved	09/08/2022
B	Louisiana	Agent	Approved	05/08/2023
B	Montana	Agent	Approved	05/18/2022
B	Nevada	Agent	Approved	05/18/2022
B	New Mexico	Agent	Approved	10/25/2022



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	09/22/2022
B North Carolina	Agent	Approved	05/18/2022
B Oregon	Agent	Approved	05/18/2022
B Texas	Agent	Approved	05/18/2022
B West Virginia	Agent	Approved	05/02/2024

Branch Office Locations

LPL FINANCIAL LLC
 2650 HARRISON AVENUE
 EUREKA, CA 95501-3259

LPL FINANCIAL LLC
 402 F STREET
 EUREKA, CA 95501

LPL FINANCIAL LLC
 1814 MAIN STREET
 FORTUNA, CA 95540

LPL FINANCIAL LLC
 3300 BROADWAY STE 810
 EUREKA, CA 95501

LPL FINANCIAL LLC
 39007 HIGHWAY 299
 WILLOW CREEK, CA 95573

LPL FINANCIAL LLC
 686 F STREET
 ARCATA, CA 95521

LPL FINANCIAL LLC
 1551 GIUNTOLI LN
 ARCATA, CA 95521

LPL FINANCIAL LLC
 12700 STATE HWY 96
 HOOPA, CA 95546




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



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	06/24/2009

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	03/29/2001
	General Securities Representative Examination (S7)	Series 7	02/18/1994

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	04/05/2002
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/19/1994

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	01/23/2014 - 05/18/2022	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	EUREKA, CA
IA	01/23/2014 - 05/18/2022	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	EUREKA, CA
B	04/24/2009 - 01/15/2014	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	EUREKA, CA
IA	04/24/2009 - 01/15/2014	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	EUREKA, CA
IA	04/24/2002 - 04/27/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	ARCATA, CA
B	04/16/2002 - 04/27/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	ARCATA, CA
B	02/22/1994 - 04/22/2002	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, 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
05/2022 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	ARCATA, CA, United States
07/2014 - 05/2022	CUNA MUTUAL GROUP	AGENT	Y	WAVERLY, IA, United States
01/2014 - 05/2022	CUNA BROKERAGE SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	WAVERLY, 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) 05/18/2022 - Gorge & Daughters - Not Investment Related- Home Based -Business Owner - OWNER - Start Date- 3/2008 - 10 Hours Per Month/ 0 Hours During Securities Trading

2) 09/04/2025 - Investment products and services are offered through LPL Financial LLC using the DBA/trade name Coast



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Central Wealth Management - Investment Related - At Reported Business Location(s) - Start Date 09/09/2025 - 160 hours per month/ 5 hours 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	2
Judgment/Lien	4

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: CUNA BROKERAGE SERVICES, INC.

Allegations: Client sent letter that Jackson National policy RR sold - the fees were high for two accounts. Client states the RR was concerned with commission that he would have made on the account. She faces a loss of over \$20K to get out of the investments. Claimed investment included high fees and an unimpressive yield. Based on review determined client did not lose money in her investments and the rates of return were all positive. Client was aware of fees based on annuity checklist signatures for both investments. Complaint was found to be without merit.

Product Type: Annuity-Variable

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: 07/28/2021

Complaint Pending? No

Status: Denied



Status Date: 08/24/2021

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CONSERVATOR FOR TRUST BENEFICIARY ALLEGES THAT BROKER'S INVESTMENT ADVICE IN 1999 WAS NOT IN THE BEST INTERESTS OF TRUST BENEFICIARY. DAMAGES NOT SPECIFIED.

Product Type: Annuity(ies) - Variable

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/26/2002

Complaint Pending? No

Status: Denied

Status Date: 01/23/2003

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: CONSERVATOR FOR TRUST BENEFICIARY ALLEGES THAT BROKER'S INVESTMENT ADVICE IN 1999 WAS NOT IN THE BEST INTEREST OF TRUST BENEFICIARY. DAMAGES NOT SPECIFIED.

Product Type: Annuity(ies) - Variable

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/26/2002

Complaint Pending? No

Status: Denied

Status Date: 01/23/2003

Settlement Amount:



**Individual Contribution
Amount:**



Judgment/Lien

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

Disclosure 1 of 4

Reporting Source: Individual
Judgment/Lien Holder: State of California
Judgment/Lien Amount: \$14,484.29
Judgment/Lien Type: Tax
Date Filed with Court: 05/07/2021
Date Individual Learned: 06/21/2021
Type of Court: State Court
Name of Court: State of California Franchise Tax Board
Location of Court: Sacramento CA
Docket/Case #: 1206418704
Judgment/Lien Outstanding? Yes

Disclosure 2 of 4

Reporting Source: Individual
Judgment/Lien Holder: Department of the Treasury - Internal Revenue Service
Judgment/Lien Amount: \$7,011.28
Judgment/Lien Type: Tax
Date Filed with Court: 08/18/2015
Date Individual Learned: 10/03/2016
Type of Court: State Court
Name of Court: Humboldt County Court
Location of Court: Humboldt County, California
Judgment/Lien Outstanding? Yes
Broker Statement Installment agreement in place and current.

Disclosure 3 of 4

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$100,762.30
Judgment/Lien Type: Tax
Date Filed with Court: 02/18/2014
Date Individual Learned: 05/11/2015
Type of Court: State Court
Name of Court: THE SUPERIOR COURT OF HUMBOLDT COUNTY



Location of Court: EUREKA, CA
Docket/Case #: 3020
Judgment/Lien Outstanding? Yes
Broker Statement LEIN IS PART OF TAX SETTLEMENT AGREEMENT & REPAYMENT PLAN FOR TAX YEARS 2010, 2011, 2012, 2013

Disclosure 4 of 4

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$40,628.93
Judgment/Lien Type: Tax
Date Filed with Court: 03/12/2015
Date Individual Learned: 05/11/2015
Type of Court: State Court
Name of Court: THE SUPERIOR COURT OF HUMBOLDT COUNTY
Location of Court: EUREKA, CA
Docket/Case #: 5411
Judgment/Lien Outstanding? Yes



End of Report

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