



IAPD Report

MARK ALAN HARRIS

CRD# 3197015

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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

MARK ALAN HARRIS (CRD# 3197015)

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 **09/04/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	02/23/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	02/23/2024

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
IA	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Hauppauge, NY	04/19/2021 - 03/12/2024
B	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Hauppauge, NY	02/26/2016 - 03/12/2024
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Hauppauge, NY	03/02/2016 - 07/14/2016

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



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: **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	02/23/2024
B	FINRA	General Securities Representative	Approved	02/23/2024
B	Colorado	Agent	Approved	02/23/2024
B	Connecticut	Agent	Approved	02/23/2024
B	Florida	Agent	Approved	02/23/2024
B	Georgia	Agent	Approved	02/26/2024
B	Maryland	Agent	Approved	02/23/2024
B	Massachusetts	Agent	Approved	02/23/2024
B	Michigan	Agent	Approved	02/27/2024
B	New Jersey	Agent	Approved	02/23/2024
B	New York	Agent	Approved	02/23/2024
IA	New York	Investment Adviser Representative	Approved	02/23/2024
B	North Carolina	Agent	Approved	03/19/2024



Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	07/22/2024
B	South Carolina	Agent	Approved	02/23/2024
B	Texas	Agent	Approved	02/23/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	09/05/2024
B	Virginia	Agent	Approved	03/25/2024
B	Wisconsin	Agent	Approved	02/23/2024

Branch Office Locations

OSAIC WEALTH, INC.
521 HAUPPAUGE ROAD
SUITE 206
HAUPPAUGE, NY 11788



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 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/05/2004

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	04/07/1999

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/23/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/28/1999



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	04/19/2021 - 03/12/2024	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Hauppauge, NY
B	02/26/2016 - 03/12/2024	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Hauppauge, NY
IA	03/02/2016 - 07/14/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Hauppauge, NY
IA	02/03/2006 - 03/17/2016	INVESTORS CAPITAL ADVISORY	CRD# 30613	FARMINGDALE, NY
B	08/04/2003 - 03/17/2016	INVESTORS CAPITAL CORP.	CRD# 30613	FARMINGDALE, NY
B	04/29/2002 - 08/12/2003	RYAN BECK & CO.	CRD# 3248	FLORHAM PARK, NJ
B	06/30/2000 - 05/13/2002	GRUNTAL & CO., L.L.C.	CRD# 372	NEW YORK, NY
B	04/08/1999 - 07/24/2000	DAVID LERNER ASSOCIATES, INC.	CRD# 5397	SYOSSET, 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
01/2024 - Present	Osaic	Registered Representative	Y	Hauppauge, NY, United States
02/2016 - Present	Ameriprise Financial Services, Inc.	Registered Rep	Y	Farmingdale, NY, 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. Business Ownership; Mark Harris LLC; Primary Member; This LLC is established for my Ameriprise financial practice to pay rent and office bills.; Smithtown, NY 11787; Not Investment Related; December 2004; 1 to 9 hours per month; 0 during trading hours.

2. LATITUDE WEALTH ADVISORS

POSITION: broker NATURE: corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 9 SECURITIES TRADING HOURS: 9 START DATE: 02/23/2024



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS: 1200 Veterans memorial Hwy, suite 105, Hauppauge NY 11788, United States

DESCRIPTION: I sell insurance as part of my comprehensive advice offered to clients



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

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:	INVESTORS CAPITAL CORP.
Allegations:	OVER EIGHT (8) YEARS AFTER ELECTING TO INVEST IN THE BEHRINGER HARVARD SHORT TERM OPPORTUNITY FUND, CLIENTS NOW ASSERT THAT THIS INVESTMENT, PRESENTED BY TWO (2) RRS IN 2004, HAD BEEN UNSUITABLE.
Product Type:	Real Estate Security
Alleged Damages:	\$90,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-00974
Filing date of arbitration/CFTC reparation or civil litigation:	04/01/2013

Customer Complaint Information

Date Complaint Received:	04/15/2013
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Complaint Pending?	No
Status:	Settled
Status Date:	03/19/2014
Settlement Amount:	\$41,000.00
Individual Contribution Amount:	\$5,000.00
Broker Statement	BUSINESS DECISION MADE TO RESOLVE THIS CASE TO AVOID THE TIME AND EXPENSE ASSOCIATED WITH PROTRACTED LITIGATION.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORP.
Allegations:	CLIENTS FILED A COMPLAINT THROUGH COUNSEL. CLIENTS SUSTAINED MARKET LOSSES FROM INVESTMENTS MADE IN 2005 AND NOW CLAIM THAT THE INVESTMENTS WERE UNSUITABLE.
Product Type:	Debt-Asset Backed Debt-Corporate Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$175,509.75
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:	05/18/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	11/01/2010
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-04828
Date Notice/Process Served:	11/01/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/04/2011



Monetary Compensation Amount: \$72,000.00

Individual Contribution Amount: \$10,000.00

Broker Statement WHILE MAINTAINING THE MERITLESS NATURE OF THIS CLAIM, A BUSINESS DECISION WAS MADE TO RESOLVE THIS MATTER TO AVOID THE TIME AND EXPENSE ASSOCIATED WITH PROTRACTED LITIGATION.



End of Report

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