



IAPD Report

MARK LOTT

CRD# 5015817

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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 LOTT (CRD# 5015817)

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 **03/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/07/2022
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/07/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	EVERSPIRE	222515	MIDVALE, UT	01/14/2019 - 04/28/2022
B	MHL INVESTMENTS	2535	MIDVALE, UT	01/24/2019 - 04/19/2022
B	WELLS FARGO CLEARING SERVICES, LLC	19616	SALT LAKE CITY, UT	04/10/2018 - 01/08/2019

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
Termination	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 **16** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**
Main Address: 901 3RD AVENUE SOUTH
MINNEAPOLIS, MN 55402
Firm ID#: 6363

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	04/07/2022
	Arizona	Agent	Approved	04/07/2022
	California	Agent	Approved	04/07/2022
	Colorado	Agent	Approved	02/12/2026
	Florida	Agent	Approved	02/06/2024
	Georgia	Agent	Approved	10/21/2024
	Idaho	Agent	Approved	04/07/2022
	Montana	Agent	Approved	03/11/2024
	Nevada	Agent	Approved	09/23/2024
	New Jersey	Agent	Approved	04/07/2022
	North Carolina	Agent	Approved	04/07/2022
	Oregon	Agent	Approved	04/07/2022
	South Carolina	Agent	Approved	01/27/2023



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	04/07/2022
IA Texas	Investment Adviser Representative	Restricted Approval	04/07/2022
B Utah	Agent	Approved	04/07/2022
IA Utah	Investment Adviser Representative	Approved	04/07/2022
B Washington	Agent	Approved	04/07/2022
B Wyoming	Agent	Approved	04/07/2022

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
 7440 S CREEK RD
 STE 200
 SANDY, UT 84093

AMERIPRISE FINANCIAL SERVICES, LLC
 55 W University Pkwy
 Ste 69
 Orem, UT 84058

AMERIPRISE FINANCIAL SERVICES, LLC
 Herriman, UT



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

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
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General Securities Representative Examination (S7)	Series 7	02/21/2012
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	04/15/2019
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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
IA	01/14/2019 - 04/28/2022	EVERSPIRE	CRD# 222515	MIDVALE, UT
B	01/24/2019 - 04/19/2022	MHL INVESTMENTS	CRD# 2535	MIDVALE, UT
B	04/10/2018 - 01/08/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SALT LAKE CITY, UT
B	04/28/2017 - 10/05/2017	E*TRADE SECURITIES LLC	CRD# 29106	SANDY, UT
B	06/18/2014 - 02/01/2016	GIRARD SECURITIES, INC.	CRD# 18697	SALT LAKE CITY, UT
IA	06/18/2014 - 02/01/2016	GIRARD SECURITIES, INC.	CRD# 18697	SALT LAKE CITY, UT
IA	06/28/2013 - 02/10/2014	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	LAS VEGAS, NV
B	06/17/2013 - 02/10/2014	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	LAS VEGAS, NV
IA	10/29/2012 - 05/30/2013	WFG ADVISORS, LP	CRD# 125073	HENDERSON, NV
B	02/23/2012 - 05/30/2013	WFG INVESTMENTS, INC.	CRD# 22704	HENDERSON, NV

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
04/2022 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Rep	Y	Sandy, UT, United States
01/2019 - 04/2022	Everspire (a DBA of Aegis Wealth Group)	Investment Advisor Representative	Y	Midvale, UT, United States
01/2019 - 04/2022	M. H. Leblang, Inc.	Registered Representative	Y	Midvale, UT, United States
03/2018 - 01/2019	Wells Fargo Bank	WM Tpb Client Service Specialist	Y	Salt Lake City, UT, United States
03/2018 - 01/2019	Wells Fargo Clearing Services	Registered Rep	Y	Salt Lake City, UT, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2017 - 02/2018	England Logistics	Business Development Manager	N	West Valley City, UT, United States
04/2017 - 10/2017	E*Trade Securities LLC	Licensed Associate Financial Services Representative	Y	Sandy, UT, United States
11/2016 - 04/2017	TSR Consulting	CSR	Y	Sandy, UT, United States
01/2016 - 09/2016	Randstad Consulting	CSR	Y	Sandy, UT, 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.

Business Ownership; Creek Road LLC; I am member of existing LLC formed with sole purpose of splitting office costs among other advisors in office; LLC formed years ago for this same purpose, if an advisor leaves and no longer member of LLC, a new member can be added to LLC.; 7440 S. Creek Rd Suite 200, , Sandy, UT, 84093; Not Investment-Related; 06/01/2022; 0 hours per month; 0 during trading hours / MYRIAD MAX INC; Owner; Manage Ameriprise Business; 7440 S. Creek Rd # 200, , Sandy, UT, 84093; Not Investment-Related; 02/04/2025; 40 to 59 hours per month; 40 to 59 during trading hours.



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
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Termination	1
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Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	MHL INVESTMENTS
Termination Type:	Permitted to Resign
Termination Date:	04/07/2022

Allegations: On April 7, 2022, Mark Lott, a registered representative, was permitted to resign following the discovery of widespread inappropriate conduct from April 15, 2019, to April 7, 2022, through an internal investigation. The findings highlighted numerous breaches of FINRA rules, SEC regulations, and internal firm policies as described below: 1. Facilitating unauthorized advisory activities by an unregistered individual, in violation of the Investment Advisers Act of 1940. 2. Failing to disclose and obtain approval for outside business activities, primarily involving fixed life insurance products, breaching FINRA Rule 3270. 3. Misusing communication channels, including text messages to transmit personally identifiable information (PII), and failing to adhere to recordkeeping requirements, disregarding SEC Rule 17a-4(b). 4. Mishandling sensitive client data and compromising client privacy, violating SEC Regulation S-P. 5. Deliberately evading supervisory systems and undermining the firm's compliance program, contravening FINRA Rule 3110. 6. Engaging in fraudulent record-keeping practices and misrepresentations, violating SEC Rule 17a-3 and FINRA Rule 4511. These violations represent a clear disregard for regulatory norms, internal policies, and ethical standards. Such actions placed the firm at significant risk of regulatory, legal, and reputational consequences. The resignation was processed to maintain the integrity of the firm's operations and safeguard the interests of its clientele and the securities industry at large.

Product Type: No Product

Firm Statement Lott permitted to resign under firm investigation; found to have engaged in false & misleading conduct where he facilitated another registered person's (w/disciplinary history) conduct of business & advice to customers in his place; incl, making false & misleading statements in MHL's records & failing to provide accurate disclosures



to customers. An internal investigation of Lott's activities to determine whether other violations of FINRA rules or MHL policy & procedure have occurred is being conducted.

Reporting Source: Firm

Firm Name: Everspire

Termination Type: Permitted to Resign

Termination Date: 04/07/2022

Allegations: Lott permitted to resign under firm investigation: found to have engaged in false & misleading conduct by facilitating the conduct of business and provision of advice to clients by an unregistered person (w/disciplinary history) in his place, making false & misleading statements in Everspire records, & failing to provide accurate disclosures to customers. An internal investigation is being conducted into whether other violations of SEC rules or Everspire policy & procedure have occurred.

Product Type: No Product

Firm Statement Lott permitted to resign under firm investigation: found to have engaged in false & misleading conduct by facilitating the conduct of business and provision of advice to clients by an unregistered person (w/disciplinary history) in his place, making false & misleading statements in Everspire records, & failing to provide accurate disclosures to customers. An internal investigation is being conducted into whether other violations of SEC rules or Everspire policy & procedure have occurred.

Reporting Source: Individual

Firm Name: MHL INVESTMENTS

Termination Type: Permitted to Resign

Termination Date: 04/07/2022

Allegations: Lott permitted to resign under firm investigation; found to have engaged in false and misleading conduct where he facilitated another registered person's (w/disciplinary history) conduct of business and advise to customers in his place; incl. making false and misleading statement in MHL's records and failing to provide accurate disclosures to customers. An internal investigation of Lott's activities to determine whether other violations of FINRA rules or MHL policy & procedure have occurred is being conducted.

Product Type: No Product

Broker Statement Lott permitted to resign under firm investigation; found to have engaged in false and misleading conduct where he facilitated another registered person's (w/disciplinary history) conduct of business and advise to customers in his place; incl. making false and misleading statement in MHL's records and failing to provide accurate disclosures to customers. An internal investigation of Lott's activities to determine whether other violations of FINRA rules or MHL policy & procedure have occurred is being conducted.



End of Report

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