



IAPD Report

MARK ANDRE POITRAS

CRD# 5574063

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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 ANDRE POITRAS (CRD# 5574063)

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 **11/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	EAST END FINANCIAL GROUP, INC.	CRD# 110584	08/16/2017
B	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	08/29/2017 - 10/11/2024
B	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	RIVERHEAD, NY	08/07/2017 - 10/11/2024
IA	HSBC SECURITIES (USA) INC.	19585	HAMPTON BAYS, NY	03/26/2013 - 08/07/2017

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
Customer Dispute	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 6 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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 Representative	Approved	10/11/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	10/11/2024
B	Florida	Agent	Approved	10/11/2024
B	Maine	Agent	Approved	10/11/2024
B	New York	Agent	Approved	10/11/2024
IA	New York	Investment Adviser Representative	Approved	10/11/2024
B	South Carolina	Agent	Approved	10/11/2024
B	Virginia	Agent	Approved	10/11/2024
IA	Wyoming	Investment Adviser Representative	Approved	10/11/2024

Branch Office Locations

OSAIC WEALTH, INC.
318 ROANOKE AVENUE
RIVERHEAD, NY 11901

Employment 2 of 2

Firm Name: **EAST END FINANCIAL GROUP, INC.**
Main Address: 318 ROANOKE AVE



Qualifications

Firm ID#: RIVERHEAD, NY 11901
110584

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	06/11/2021

Branch Office Locations

EAST END FINANCIAL GROUP, INC.
318 ROANOKE AVE
RIVERHEAD, NY 11901



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	05/07/2010
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B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/31/2008
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	12/21/2010
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B Uniform Securities Agent State Law Examination (S63)	Series 63	08/11/2008
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	08/29/2017 - 10/11/2024	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	08/07/2017 - 10/11/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	RIVERHEAD, NY
IA	03/26/2013 - 08/07/2017	HSBC SECURITIES (USA) INC.	CRD# 19585	HAMPTON BAYS, NY
B	03/22/2013 - 08/07/2017	HSBC SECURITIES (USA) INC.	CRD# 19585	HAMPTON BAYS, NY
IA	01/24/2011 - 03/14/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SOUTHAMPTON, NY
B	01/21/2011 - 03/14/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SOUTHAMPTON, NY
B	07/30/2010 - 01/25/2011	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SAG HARBOR, NY
B	08/01/2008 - 07/30/2010	NATIONWIDE SECURITIES, LLC	CRD# 11173	HAUPPAUGE, NY
B	08/01/2008 - 08/01/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	HAUPPAUGE, 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
10/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SCOTTSDALE, AZ, United States
08/2017 - Present	EAST END FINANCIAL GROUP, INC.	Financial Planner / Investment Advisor Representative	Y	Riverhead, NY, United States
08/2017 - 10/2024	AMERICAN PORTFOLIOS ADVISORS, INC.	Investment Advisor Representative	Y	Riverhead, NY, United States
08/2017 - 10/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	HOLBROOK, NY, United States
08/2016 - 08/2017	HSBC BANK USA, N.A.	PREMIER RELATIONSHIP ADVISOR	Y	HAMPTON BAY, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2013 - 08/2016	HSBC SECURITIES (USA) INC.	PREMIER RELATIONSHIP ADVISOR	Y	HAMPTON BAY, 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. Mark A. Poitras is dually registered as an investment advisor representative ("IAR") with East End Financial Group, Inc. ("EEFG") and American Portfolios Advisors, Inc. ("APA") and as a registered representative ("RR") with American Portfolios Financial Services, Inc. ("APFS"). Mr. Poitras spends approximately 90% of his business time providing services through EEFG and the balance with APA and APFS. EAST END FINANCIAL GROUP, INC. ("EEFG")
 POSITION: Investment Advisor Representative ("IAR") NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 136 SECURITIES TRADING HOURS: 136 START DATE: 08/07/2017
 ADDRESS: 318 Roanoke Ave, Riverhead NY 11901,
 DESCRIPTION: Is dually registered as an investment advisor representative ("IAR") with East End Financial Group, Inc. ("EEFG") and Osaic Wealth, Inc., and as a registered representative of Osaic Wealth, Inc.
2. Mr. Poitras is a licensed insurance agent through Kosinski Associates, Inc. ("KAI"), Non-Investment Related. POSITION: Employee NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 24 SECURITIES TRADING HOURS: 24 START DATE: 08/07/2017
 ADDRESS: 318 Roanoke Ave, Riverhead NY 11901,
 DESCRIPTION: KAI is a financial brokerage firm, and Mr. Poitras is a licensed Insurance Agent through the firm.
3. Mr. Poitras has volunteered at SAG Harbor Volunteer Ambulance, located at 16C Columbia Street, Sag Harbor, NY, 11963, since 11/2004. Mr. Poitras devotes approximately 6 hours per month, zero hours during securities trading hours. Mr. Poitras is an advanced emergency technician and an instructor for the corps and Suffolk County. POSITION: Member, Director NATURE: Registered 501 (c)(3) organization INVESTMENT RELATED: No NUMBER OF HOURS: 15 SECURITIES TRADING HOURS: 0 START DATE: 11/17/2004
 ADDRESS: 16C Columbia Street, Sag Harbor NY 11963,
4. North Haven Village Zoning Board of Appeals, located in North Haven since 03/2007. Chairman. Mr. Poitras devotes approximately 2 hours per month, zero hours during securities trading hours. Mr Poitras hears applications from residents for variances to the North Haven Village zoning laws.
5. YOUTH HOOP OF SAG HARBOR
 POSITION: Coach, Board Member NATURE: 501 (c)(3) organization INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 11/01/2019
 ADDRESS: PO Box 523, Sag Harbor NY 11963,
 DESCRIPTION: Coach youth basketball, assist in fundraising efforts, and volunteer for activities. Additionally, I perform Board of Directors duties, which include team selection, league administration, and other logistical items for the league.
6. NORTH HAVEN VILLAGE ZONING BOARD OF APPEALS
 POSITION: Chairman of the Zoning Board of Appeals NATURE: Government INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 03/01/2007
 ADDRESS: 335 Ferry Road, Sag Harbor NY 11963,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DESCRIPTION: The board hears applications from residents of the village for variances to the North Haven Village zoning code.

7. SAG HARBOR LIONS CLUB

NATURE: Charity - 501C3 INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2013

ADDRESS: PO Box 158, Sag Harbor NY 11963,

DESCRIPTION: I am a member of the club where we engage in numerous community service initiatives. Some of these include providing aid to seniors, raising eyesight awareness to combat blindness, sponsoring community events and supporting other local charities. POSITION: I am the Chair of our Scholarship Selection Committee, where we select three graduating seniors from our local high school to receive a scholarship toward college.



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	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PAR EAST MORTGAGE CO.
Allegations:	THE SELLER OF A HOME COUNTERSUED AFTER OUR CLIENT SUED FOR COMPLIANCE WITH A HOME PURCHASE CONTRACT OF SALE.
Product Type:	Other: MORTGAGE
Alleged Damages:	\$2,000,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Settled
Status Date:	09/19/2006
Settlement Amount:	\$15,000.00
Individual Contribution Amount:	\$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	SUPREME COURT OF THE STATE OF NEW YORK
Location of Court:	SUFFOLK COUNTY, NY



Docket/Case #: INDEX #04-22571

Date Notice/Process Served: 09/01/2003

Litigation Pending? No

Disposition: Settled

Disposition Date: 09/19/2006

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Broker Statement

ORIGINALLY, THIS WAS A LIS PENDENS SUIT FROM 9/2003 (INDEX #03-22796) WHICH RESULTED FROM A DISPUTE BETWEEN DISGRUNTLED BUYERS AND SELLERS. THE BUYERS WERE PAR EAST MORTGAGE CO. CLIENTS AND WERE USING THEM TO OBTAIN FINANCING. THE BUYERS BROUGHT A SUIT AGAINST THE SELLERS FOR COMPLIANCE WITH A CONTRACT OF SALE. AS A REBUTTLE, THE SELLERS BROUGHT THE SUIT IN QUESTION AGAINST THE BUYERS, PAR EAST MORTGAGE CO. AND ITS AGENTS. THE SUIT WAS SETTLED WITHOUT ANY PERSONAL CONTRIBUTION MADE BY ME.



End of Report

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