



## IAPD Report

# Marcus Elliott Mann

CRD# 8074764

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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

### Marcus Elliott Mann (CRD# 8074764)

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 **05/04/2026**.

### CURRENT EMPLOYERS

| Firm  | CRD#        | Registered Since |
|---|-------------|------------------|
| <b>IA</b> PROSPERITY PLANNING AND ADVISORY, LLC | CRD# 336302 | 06/27/2025       |

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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 |
|------|------|----------|--------------------|
|------|------|----------|--------------------|

No information reported.

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 |
|---------------|-------|
| Criminal      | 1     |
| Judgment/Lien | 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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **PROSPERITY PLANNING AND ADVISORY, LLC**  
Main Address: 21255 BURBANK BOULEVARD  
SUITE 120  
LOS ANGELES, CA 91367  
Firm ID#: 336302

| Regulator            | Registration                      | Status   | Date       |
|----------------------|-----------------------------------|----------|------------|
| <b>IA</b> California | Investment Adviser Representative | Approved | 06/27/2025 |

#### Branch Office Locations

**PROSPERITY PLANNING AND ADVISORY, LLC**  
Lancaster, CA



## 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, 0 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

No information reported.

#### General Industry/Product Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

No information reported.

#### State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

|  |           |            |
|--|-----------|------------|
| <b>IA</b> Uniform Investment Adviser Law Examination (S65) | Series 65 | 12/28/2024 |
|--|-----------|------------|

### 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:

No information reported.

### 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            |
|-------------------|---------------------------------------|--------------------------------|--------------------|------------------------------|
| 09/2025 - Present | Self - Marcus Mann                    | Self-Employed Insurance Agent  | Y                  | Lancaster, CA, United States |
| 04/2025 - Present | Prosperity Planning and Advisory, LLC | Chief Compliance Officer / IAR | Y                  | Lancaster, CA, United States |
| 03/2009 - Present | Self-Marcus Mann                      | Day Trader                     | Y                  | Lancaster, CA, United States |
| 05/2018 - 04/2025 | Self-Marcus Mann                      | Financial Coach                | Y                  | Lancaster, CA, United States |
| 02/2016 - 02/2023 | Self-Marcus Mann                      | IT Tech                        | N                  | Lancaster, CA, 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 Name: Prosperity Planning and Advisory, LLC

Is this activity investment-related?: Yes

Title/Relationship: Non-Managing Member / Chief Compliance Officer / Financial Advisor / Investment Adviser Representative

Start Date: 01/01/2025 (or actual LLC formation date)

Approximate number of hours per month devoted to the activity: 130

Number of hours devoted to the activity during securities trading hours: 100

Brief Description:

Mr. Mann is a non-managing member with a 90% ownership interest in Prosperity Planning and Advisory, LLC, a California state-registered investment adviser. He serves as the firm's Chief Compliance Officer and investment adviser representative and provides investment advisory and financial consulting services to clients. While he holds a majority ownership interest, he does not serve as a managing member and has no governance authority; all management responsibilities are assigned to the firm's designated Manager, Sheika Holland. Mr. Mann devotes approximately 130 hours per month to this role, with roughly 100 of those hours occurring during standard securities trading hours (6:30 AM - 1:00 PM Pacific Time).

Business Name: Personal Investment/Trading Accounts (Self-directed)

Is this activity investment-related?: Yes

Title/Relationship: Self-Directed Investor / Day Trader

Start Date: 03/01/2009

Approximate number of hours per month devoted to the activity: 25



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Number of hours devoted to the activity during securities trading hours: 25

Brief Description:

Mr. Mann actively manages his own personal investment accounts, engaging in short-term trading of stocks and futures. This activity is conducted independently for his own financial purposes and does not involve managing money for others, offering trading advice, or receiving outside compensation. He spends approximately 25 hours per month on this activity, typically during securities trading hours. The firm has policies in place to ensure this personal trading does not conflict with client interests or interfere with Mr. Mann's responsibilities as Chief Compliance Officer and investment adviser representative of Prosperity Planning and Advisory, LLC.

Business Name: Self - Marcus Mann

Is this activity investment-related?: Yes

Title/Relationship: Insurance Agent (Self-Employed)

Start Date: 09/22/2025

Approximate number of hours per month devoted to the activity: 5-8

Number of hours devoted to the activity during securities trading hours: 0

Brief Description:

Mr. Mann is licensed in California as an insurance agent to sell life insurance and fixed annuity products. He devotes approximately 5-8 hours per month to this activity, all outside of securities trading hours. Compensation is commission-based. This activity is conducted independently of Prosperity Planning and Advisory, LLC. Clients are under no obligation to purchase insurance products, and all potential conflicts of interest are fully disclosed.



## 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 |
|---------------|-------|
| Criminal      | 1     |
| Judgment/Lien | 1     |

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

|  |  |
|--|--|
| <b>Reporting Source:</b>               | Individual   |
| <b>Formal Charges were brought in:</b> | State Court  |
| <b>Name of Court:</b>                  | Victorville Superior Court   |
| <b>Location of Court:</b>              | Victorville, CA  |
| <b>Docket/Case #:</b>                  | FV101876   |
| <b>Charge Date:</b>                    | 01/06/1994   |
| <b>Charge(s) 1 of 1</b>                |  |
| <b>Formal Charge(s)/Description:</b>   | Violation of California Health and Safety Code §11352(a) - Sale of a Controlled Substance (Felony)   |
| <b>No of Counts:</b>                   | 1  |
| <b>Felony or Misdemeanor:</b>          | Felony   |
| <b>Plea for each charge:</b>           | No Contest   |
| <b>Disposition of charge:</b>          | Convicted  |
| <b>Current Status:</b>                 | Final  |
| <b>Status Date:</b>                    | 11/29/1994   |
| <b>Disposition Date:</b>               | 01/06/1994   |
| <b>Sentence/Penalty:</b>               | Sentence/Penalty: Supervised probation for three years.<br>Duration:<br>Suspension/Probation: Three years starting from November 29, 1994.<br>Jail Time: 180 days in San Bernardino County Jail, with credit for 31 days served (2 months and was allowed work release program) .<br>Start Date of Penalty: November 29, 1994. |



End Date of Penalty: November 29, 1997.  
Monetary Penalty/Fine:  
Restitution Fine: \$200.00, stayed pending successful completion of probation.  
Probation Supervision Fees: \$15.00 per month starting March 15, 1995.  
Controlled Substance Test Fee: \$10.00 per test.  
Administrative Cost: \$20.00 per month starting April 15, 1995.  
Date Monetary Penalty/Fine Paid: Before the end date of November 29, 1997.

All fines were paid, and probation was completed within the designated period end on November 29, 1997

**Broker Statement**

Mr. Marcus Mann was convicted of a felony over 30 years ago, on January 6, 1994, at the age of 20, for Sale \$20.00 of a Controlled Substance in violation of Section 11352(a) of the California Health and Safety Code. Mr. Mann accepted responsibility for his actions and completed the sentence imposed by the court. There have been no subsequent criminal matters other than minor traffic violations. The conviction was later set aside and dismissed pursuant to California Penal Code Section 1203.4, and Mr. Mann was granted a Certificate of Rehabilitation by the State of California. Since that time, Mr. Mann has met all applicable regulatory qualification requirements, successfully completed the Series 65 examination, and serves as an Investment Adviser Representative and fiduciary. Prosperity Planning and Advisory, LLC encourages clients to contact the firm with any questions regarding this disclosure.



## Judgment/Lien

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

### Disclosure 1 of 1

|                                   |                         |
|-----------------------------------|-------------------------|
| <b>Reporting Source:</b>          | Individual              |
| <b>Judgment/Lien Holder:</b>      | Wells fargo             |
| <b>Judgment/Lien Amount:</b>      | \$39,048.93             |
| <b>Judgment/Lien Type:</b>        | Civil                   |
| <b>Date Filed with Court:</b>     | 07/08/2008              |
| <b>Date Individual Learned:</b>   | 06/01/2020              |
| <b>Type of Court:</b>             | State Court             |
| <b>Name of Court:</b>             | Stanley Mosk Courthouse |
| <b>Location of Court:</b>         | Los Angeles, CA         |
| <b>Docket/Case #:</b>             | BC394229                |
| <b>Judgment/Lien Outstanding?</b> | Yes                     |

### Broker Statement

Mr. Marcus Mann has an outstanding civil judgment related to a personal guarantee on a business line of credit obtained in connection with a business he previously co-owned. The obligation arose during the period surrounding the 2008 financial crisis, when the business experienced significant financial stress and was ultimately forced to close. Mr. Mann had personally guaranteed the credit line in support of the business. Following the business closure and related financial hardship, he was unable to resolve the debt at that time. The judgment remains outstanding as of the date of this brochure. The matter is not investment-related, does not involve fraud or dishonesty, and has not resulted in any securities, insurance, or other regulatory action. Mr. Mann has disclosed the matter on his Form U4.



## End of Report

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