

BrokerCheck Report

Mark Cortazzo

CRD# 1995986

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 9



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



Mark Cortazzo

CRD# 1995986

Currently employed by and registered with the following Firm(s):

- B LPL FINANCIAL LLC**
1639 ROUTE 10 FL 1
PARSIPPANY, NJ 07054
CRD# 6413
Registered with this firm since: 07/01/2021
- IA WEALTH ENHANCEMENT ADVISORY SERVICES, LLC**
1639 ROUTE 10 E
1ST FLOOR
PARSIPPANY, NJ 07054
CRD# 116407
Registered with this firm since: 07/01/2021
- B WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC**
505 N HIGHWAY 169
PLYMOUTH, MN 55441
CRD# 130139
Registered with this firm since: 07/19/2021

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 30 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA MACRO CONSULTING GROUP**
CRD# 108755
PARSIPPANY, NJ
03/2004 - 07/2021
- B MUTUAL SECURITIES, INC.**
CRD# 13092
Parsippany, NJ
01/2018 - 06/2021
- B LPL FINANCIAL LLC**
CRD# 6413
PARSIPPANY, NJ
11/2012 - 01/2018

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 30 U.S. states and territories through his or her employer.

Employment 1 of 3

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	07/01/2021
B	FINRA	General Securities Representative	Approved	07/01/2021
B	FINRA	Municipal Fund	Approved	07/01/2021

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	08/30/2021
B	Arkansas	Agent	Approved	08/30/2021
B	California	Agent	Approved	07/01/2021
B	Colorado	Agent	Approved	08/30/2021
B	Connecticut	Agent	Approved	08/30/2021
B	Delaware	Agent	Approved	07/01/2021
B	Florida	Agent	Approved	07/01/2021
B	Georgia	Agent	Approved	08/30/2021
B	Idaho	Agent	Approved	12/16/2021
B	Illinois	Agent	Approved	12/03/2021

Broker Qualifications



Employment 1 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	12/16/2021
B	Maryland	Agent	Approved	07/01/2021
B	Massachusetts	Agent	Approved	08/30/2021
B	Minnesota	Agent	Approved	12/16/2021
B	Missouri	Agent	Approved	12/16/2021
B	Nevada	Agent	Approved	08/30/2021
B	New Hampshire	Agent	Approved	08/30/2021
B	New Jersey	Agent	Approved	07/01/2021
B	New York	Agent	Approved	07/01/2021
B	North Carolina	Agent	Approved	08/31/2021
B	Oregon	Agent	Approved	10/12/2022
B	Pennsylvania	Agent	Approved	08/30/2021
B	Rhode Island	Agent	Approved	08/30/2021
B	South Carolina	Agent	Approved	07/01/2021
B	Tennessee	Agent	Approved	02/04/2022
B	Texas	Agent	Approved	07/01/2021
B	Vermont	Agent	Approved	01/02/2022
B	Virginia	Agent	Approved	07/01/2021
B	Washington	Agent	Approved	12/16/2021
B	Wisconsin	Agent	Approved	12/16/2021



Broker Qualifications

Employment 1 of 3, continued

Branch Office Locations

LPL FINANCIAL LLC

1639 ROUTE 10 FL 1
PARSIPPANY, NJ 07054

Employment 2 of 3

Firm Name: **WEALTH ENHANCEMENT ADVISORY SERVICES, LLC**

Main Office Address: **505 NORTH HWY 169
SUITE 900
PLYMOUTH, MN 55441**

Firm CRD#: **116407**

	U.S. State/ Territory	Category	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	07/02/2021
IA	Texas	Investment Adviser Representative	Approved	07/01/2021

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Employment 3 of 3

Firm Name: **WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC**

Main Office Address: **505 NORTH HWY 169, SUITE 900
PLYMOUTH, MN 55441**

Firm CRD#: **130139**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	07/19/2021

Branch Office Locations

Broker Qualifications



Employment 3 of 3, continued

This individual does not have any registered Branch Office where the individual is located.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Fund Securities Principal Examination	Series 51	03/18/2003
B General Securities Principal Examination	Series 24	07/31/1997

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/21/1989

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/29/1998
B Uniform Securities Agent State Law Examination	Series 63	12/01/1989

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

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 and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 03/2004 - 07/2021	MACRO CONSULTING GROUP	108755	PARSIPPANY, NJ
B 01/2018 - 06/2021	MUTUAL SECURITIES, INC.	13092	Parsippany, NJ
B 11/2012 - 01/2018	LPL FINANCIAL LLC	6413	PARSIPPANY, NJ
IA 02/2002 - 11/2012	SII INVESTMENTS, INC.	2225	PARSIPPANY, NJ
B 06/1997 - 11/2012	SII INVESTMENTS, INC.	2225	PARSIPPANY, NJ
B 02/1995 - 06/1997	SUN INVESTMENT SERVICES COMPANY	5496	WELLESLEY HILLS, MA
B 10/1993 - 02/1995	ESSEX NATIONAL SECURITIES, INC.	25454	NAPA, CA
B 09/1992 - 11/1993	SUN INVESTMENT SERVICES COMPANY	5496	WELLESLEY HILLS, MA
B 03/1990 - 08/1992	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 10/1989 - 02/1990	THE STUART-JAMES COMPANY, INCORPORATED	11691	DENVER, CO

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
07/2021 - Present	LPL Financial, LLC	Registered Representative	Y	Parsippany, NJ, United States
07/2021 - Present	Wealth Enhancement Group	SVP Financial Advisor	Y	Plymouth, MN, United States
07/2021 - Present	Wealth Enhancement Advisory Services, LLC	Investment Advisor Representative	Y	Plymouth, MN, United States
07/2021 - Present	Wealth Enhancement Brokerage Services	Registered Representative	Y	Plymouth, MN, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2021 - 07/2021	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	PARSIPPANY, NJ, United States
02/1995 - 07/2021	MACRO CONSULTING GROUP, LLC	MANAGING MEMBER / Investment Adviser Representative	Y	PARSIPPANY, NJ, United States
01/2018 - 06/2021	MUTUAL SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	CAMARILLO, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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)07/2021 - DBA FOR LPL BUSINESS(ENTITY FOR LPL BUSINESS) - WEALTH ENHANCEMENT GROUP - INVESTMENT RELATED - PARSIPPANY, NJ

2)07/2021 - TELEVISION APPEARANCES - MARK CORTAZZO - INVESTMENT RELATED - PARSIPPANY, NJ

3) 7/21/2021 - WEALTH ENHANCEMENT ADVISORY SERVICES LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - FINANCIAL ADVISOR - Start Date: 7/1/2021 - 200 Hours Per Month/8 Hours During Securities Trading - Time Spent 100% - I provide investment advisory services through WEALTH ENHANCEMENT ADVISORY SERVICES LLC, an independent investment advisor firm. I started this business activity in 7/2021. I expect to spend approximately 200 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.

End of Report



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