

BrokerCheck Report

MARK EDWARD SCHULTEN

CRD# 1879841

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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.](http://www.finra.org)



MARK E. SCHULTEN

CRD# 1879841

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

IA WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
 6460 E PACIFIC COAST HWY
 STE 223
 LONG BEACH, CA 90803
 CRD# 11025
 Registered with this firm since: 10/16/2019

B WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
 6460 E PACIFIC COAST HWY
 STE 223
 LONG BEACH, CA 90803
 CRD# 11025
 Registered with this firm since: 10/16/2019

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
- 53 U.S. states and territories

This broker has passed:

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

Registration History

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

- B WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 LONG BEACH, CA
 02/2009 - 10/2019
- IA WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 ST. LOUIS, MO
 02/2009 - 10/2019
- IA CITIGROUP GLOBAL MARKETS INC.**
 CRD# 7059
 NEW YORK, NY
 07/1997 - 02/2009

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 53 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-063
ST. LOUIS, MO 63103**

Firm CRD#: **11025**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	10/16/2019

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	11/01/2019
B Alaska	Agent	Approved	11/14/2019
B Arizona	Agent	Approved	10/16/2019
B Arkansas	Agent	Approved	11/04/2019
B California	Agent	Approved	10/16/2019
IA California	Investment Adviser Representative	Approved	10/17/2019
B Colorado	Agent	Approved	10/16/2019
B Connecticut	Agent	Approved	10/16/2019
B Delaware	Agent	Approved	10/16/2019
B District of Columbia	Agent	Approved	02/18/2020
B Florida	Agent	Approved	10/16/2019
B Georgia	Agent	Approved	10/16/2019



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	11/01/2019
B	Idaho	Agent	Approved	10/16/2019
B	Illinois	Agent	Approved	10/16/2019
B	Indiana	Agent	Approved	11/04/2019
B	Iowa	Agent	Approved	10/16/2019
B	Kansas	Agent	Approved	10/16/2019
B	Kentucky	Agent	Approved	10/16/2019
B	Louisiana	Agent	Approved	02/18/2020
B	Maine	Agent	Approved	10/16/2019
B	Maryland	Agent	Approved	10/16/2019
B	Massachusetts	Agent	Approved	10/16/2019
B	Michigan	Agent	Approved	10/16/2019
B	Minnesota	Agent	Approved	10/16/2019
B	Mississippi	Agent	Approved	10/16/2019
B	Missouri	Agent	Approved	10/16/2019
B	Montana	Agent	Approved	10/16/2019
B	Nebraska	Agent	Approved	02/18/2020
B	Nevada	Agent	Approved	10/16/2019
IA	Nevada	Investment Adviser Representative	Approved	10/31/2019
B	New Hampshire	Agent	Approved	11/01/2019
B	New Jersey	Agent	Approved	10/16/2019



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Mexico	Agent	Approved	10/16/2019
B	New York	Agent	Approved	10/16/2019
B	North Carolina	Agent	Approved	10/16/2019
B	North Dakota	Agent	Approved	10/16/2019
B	Ohio	Agent	Approved	10/16/2019
B	Oklahoma	Agent	Approved	10/16/2019
B	Oregon	Agent	Approved	10/16/2019
B	Pennsylvania	Agent	Approved	10/16/2019
B	Puerto Rico	Agent	Approved	02/18/2020
B	Rhode Island	Agent	Approved	10/16/2019
B	South Carolina	Agent	Approved	10/16/2019
B	South Dakota	Agent	Approved	10/16/2019
B	Tennessee	Agent	Approved	10/16/2019
B	Texas	Agent	Approved	10/16/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	10/16/2019
B	Utah	Agent	Approved	10/16/2019
B	Vermont	Agent	Approved	02/18/2020
B	Virgin Islands	Agent	Approved	02/18/2020
B	Virginia	Agent	Approved	10/16/2019
B	Washington	Agent	Approved	10/16/2019
B	West Virginia	Agent	Approved	02/18/2020



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Wisconsin	Agent	Approved	10/16/2019
B	Wyoming	Agent	Approved	02/18/2020

Branch Office Locations

WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
 6460 E PACIFIC COAST HWY
 STE 223
 LONG BEACH, CA 90803

WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
 595 HUMBOLDT ST STE 200
 [SATELLITE]
 RENO, NV 89509

WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
 1785 VILLAGE CENTER CIRCLE
 [SATELLITE]
 LAS VEGAS, NV 89134

WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
 926 INCLINE WAY SUITE 250
 [SATELLITE]
 INCLINE VILLAGE, NV 89451

WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
 15169 N SCOTTSDALE ROAD SUITE C-340
 [SATELLITE]
 SCOTTSDALE, AZ 85254



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	02/08/1993
B General Securities Representative Examination	Series 7	09/17/1988

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/17/1997
B Uniform Securities Agent State Law Examination	Series 63	09/29/1988

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
B 02/2009 - 10/2019	WELLS FARGO CLEARING SERVICES, LLC	19616	LONG BEACH, CA
IA 02/2009 - 10/2019	WELLS FARGO CLEARING SERVICES, LLC	19616	LONG BEACH, CA
IA 07/1997 - 02/2009	CITIGROUP GLOBAL MARKETS INC.	7059	LONG BEACH, CA
B 07/1993 - 02/2009	CITIGROUP GLOBAL MARKETS INC.	7059	LONG BEACH, CA
B 07/1992 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 09/1988 - 07/1992	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ

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
10/2019 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	LONG BEACH, CA, United States
11/2016 - 10/2019	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	LONG BEACH, CA, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	LONG BEACH, 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.

LEGACY ARMS LLC, INV REL, INCLINE VILLAGE, NV, OWNER W/SPOUSE, START 1/2018, 1 HR/MTH, 0 TRAD, MANAGER REAL EST RENT PPTY, INV REL, RENO, NV, OWNER, START 1/2018, 1 HR/MTH, 0 TRAD, APT. WASHINGTON HEIGHTS LLC, INV REL., INCLINE VILLAGE, NV, OWNER W/SPOUSE, START 1/2018, 1 HR/MTH, 0 TRAD. RENT PPTY, INV REL, RENO, NV, OWNER, START 1/2018, 1 HR/MTH, 0 TRAD, APT. RYLEXA LLC, INV REL, INCLINE VILLAGE, NV, OWNER W/SPOUSE, START 1/2018, 1 HR/MTH, 0 HRS TRAD, APTS. HABITAT FLATS



Registration and Employment History

Other Business Activities, continued

LLC,INV REL,INCLINE VILLAGE, NV,OWNER W/SPOUSE,START 1/2018, 1 HR/MTH, 0 TRAD, REAL EST RENT PPTY, INV REL, RENO, NV, OWNER, START 1/2018,1 HR/MTH, 0 TRAD, APT. TRUCKEE FLATS LLC,INV REL,INCLINE VILLAGE, NV,OWNER W/ SPOUSE, START 1/2018,1 HR/MTH, 0 DURING TRAD, REAL EST RENT PPTY, INV REL, RENO, NV, OWNER, START 1/2018, 1 HR/MTH, 0 DURING TRAD, APT. RIVER EDGE LLC,INV REL, RENO, NV, OWNER, START 11/2012, 5 HRS/MTH, 0 RENT PPTY, INV REL, RENO, NV, OWNER, START 1/2018, 1 HR/MTH, 0 TRAD, APT. ALL GOOD M43 LLC,INV REL, INCLINE VILLAGE, NV,50% OWNER W/SPOUSE, START 1/2018,1 HR/MTH; 0 TRAD, ASSETS. ONE FORTY ONE, LLC,INV REL,INCLINE VILLAGE, NV, OWNER W/ SPOUSE, START 1/2018, 1 HR/MTH,0 DURING TRAD. RENT PPTY, INV REL, RENO, NV, OWNER, START 1/2018,1 HR/MTH,0 DURING TRAD,APT. VIRGINIA FLATS, LLC,INV REL,INCLINE VILLAGE, NV, OWNER W/SPOUSE,START 1/2018,1 HR/MTH,0 DURING TRAD, REAL EST. RENT PPTY, INV REL, RENO, NV, OWNER, START 1/2018, 1 HR/MTH, 0 DURING TRAD, APT. FIFTY FLATS, LLC,INV REL,CARSON CITY,NV, OWNER,START 3/2019,5 HRS/MTH, 0 DURING TRAD, OWNER. RENT PPTY, INV REL, CARSON CITY, NV, OWNER, START 3/2019, 1 HR/MTH, 0 DURING TRAD, APT. TSG WEALTH MANAGEMENT,INV REL,INCLINE VILLAGE,NV,50% OWNER, START 10/2019, 5 HRS/MTH, 0 TRAD ,MANAGING PARTNER. CAPITAL CITY FLATS, LLC, INV REL,INCLINE VILLAGE,NV, OWNER, START 9/2019, 1 HR/MTH, 0 TRAD, REAL EST. RENT PPTY, INV REL, CARSON CITY, NV, OWNER, START 9/2019, 1 HR/MTH, 0 TRAD, APT. CANYON FALLS BUSINESS CTR LLC, INV REL, INCLINE VILLAGE, NV, OWNER, START 12/2019, 1 HR/MTH, 0 TRAD, PROFESSIONAL OFFICES. SAGE VALLEY PARK LLC, INV REL, LAS VEGAS, NV, OWNER, START 10/2019, 1 HR/MTH, 0 DURING TRAD, APTS AND RV PARK. RENT PPTY, INV REL, FALLON, NV, OWNER, START 10/2019, 1 HR/MTH, 0 TRAD, APT. CARSON HEIGHTS LLC, INV REL, INCLINE VILLAGE, NV, OWNER, START 10/2019, 1 HR/MTH, 0 DURING TRAD, APTS. RENT PPTY, INV REL, CARSON CITY, NV, OWNER, START 10/2019, 1 HR/MTH, 0 DURING TRAD. MORE COWBELL LLC, INV REL, INCLINE VILLAGE, NV, OWNER, START 12/2019, 1 HR/MTH, 0 DURING TRAD, FINET PRACTICE. RANCH VIEW, LLC, INV REL, RENO NV, OWNER,START 12/2019,1 HR/MTH, 0 DURING TRAD,MANAGING PARTNER. HUMBOLDT MARSH LLC, INV REL, INCLINE VILLAGE, NV, OWNER, START 2/2020, 1 HR/MTH, 0 DURING TRAD, REAL EST FOR PRACTICE. RENT PPTY, INV REL, RENO,NV, OWNER, START 2/2020, 1 HR/MTH, 0 DURING TRAD, FOR PRACTICE.ALERYA,LLC; NOT INV REL; INCLINE VILLAGE,NV; OWN W/SPOUSE; START 11/2020; 1 HR/MTH; 0 TRAD. REAL ESTATE. RENT PPTY, INV REL, FALLON, NV, OWN W/SPOUSE, START 2/2021, 1 HR/MTH, 0 TRAD. TTEE FOR MORE COWBELL LLC DBP; INV. REL; INCLINE VILLAGE, NV; START DATE 8/2021; 1 HR/MONTH. 4 RENT PTY'S, INVT REL, CARSON CITY, NV, OWNER W/SPOUSE, START 10/2021, 1 HR/MO, 0 HR TRAD, OWNER. GENOA FLATS, LLC, INDEPENDENCE FLATS, LLC, MARLETTE FLATS, LLC, FREEDOM FLATS, LLC, INVT RELATED, INCLINE VILLAGE, NV, OWNER W/SPOUSE, START 10/2021, 0 HR/MO, 0 DURING TRAD, OVERSIGHT. RUBY DOME HOLDINGS,LLC, INVT RELATED, RENO, NV, 50% OWNER W/SPOUSE,START 1/2022,1 HR/MO, 0 DURING TRAD, OWNER.RENT PPTY, INVT REL ELKO, NV,50% OWN W/SPOUSE,START 1/2022,1 HR/MO, 0 TRAD, OWN

End of Report



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