

**SUPERVISED PERSON BROCHURE**  
FORM ADV PART 2B

Mark Richard Neubauer



**VANTAGE POINT**  
WEALTH MANAGEMENT

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March 13, 2025

This brochure supplement provides information about Mark Richard Neubauer and supplements the Investment VPWM Advisors LLC dba Vantage Point Wealth Management brochure. You should have received a copy of that brochure. Please contact Mark Richard Neubauer if you did not receive the brochure or if you have any questions about the contents of this supplement.

**ADDITIONAL INFORMATION ABOUT MARK RICHARD NEUBAUER (CRD #2018228) IS AVAILABLE ON THE SEC'S WEBSITE AT [WWW.ADVISERINFO.SEC.GOV](http://WWW.ADVISERINFO.SEC.GOV).**

## Brochure Supplement (Part 2B of Form ADV)

### Supervised Person Brochure

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#### Supervised Person – Mark Richard Neubauer

- Year of birth: 1961
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#### Item 2 - Educational Background and Business Experience

##### Educational Background:

- University of Wisconsin - Stout; Bachelor of Arts – Manufacturing; 1986

##### Business Experience:

- VPWM Advisors LLC dba Vantage Point Wealth Management; Investment Advisor Representative; 09/2016 – Present
  - LPL Financial LLC; Registered Representative; 10/2012 – Present
  - L.A.C. Enterprises Inc.; Associate; 05/2018 – 11/2024
  - LPL Financial LLC; Investment Advisor Representative; 01/2014 – 9/2016
  - Arazon Financial Group; Office Manager; 05/2014 – 06/2016
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#### Item 3 - Disciplinary Information

- A. Mark Neubauer has never been involved in a criminal or civil action in a domestic, foreign, or military court of competent jurisdiction for which he:
1. Was convicted of, or pled guilty or nolo contendere (“no contest”) to: (a) any felony; (b) misdemeanor that involved investments or an investment-related business, fraud, false statement or omissions, wrongful taking of property, bribery, perjury, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
  2. Is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
  3. Was found to have been involved in a violation of an investment-related statute or regulation; or
  4. Was the subject of any order, judgement, or decree permanently or temporarily enjoining or otherwise limiting him from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.
- B. Mark Neubauer has never had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which he:
1. Was found to have caused an investment-related business to lose its authorization to do business; or
  2. Was found to have been involved in a violation of an investment-related statute or regulation or was the subject of an order by the agency or authority:
    - (a) denying, suspending or revoking the authorization of the supervised person to act in an investment-related business; (b) barring or suspending his association with an investment-related business; (c) otherwise significantly limiting his investment-related activities; or (d) imposing a civil money penalty of more than \$2,500 on him.

- C. Mark Neubauer has never been the subject of a self-regulatory organization (SRO) proceeding in which he:
1. Was found to have caused an investment-related business to lose its authorization to do business; or
  2. Was found to have been involved in a violation of the SRO's rules and was: (a) barred or suspended from membership or from association with other members or was expelled from membership; (b) otherwise significantly limited from investment-related activities; or (c) fined more than \$2,500.
- D. Mark Neubauer has not been involved in any other hearing or formal adjudication in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct.
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#### **Item 4 - Other Business Activities**

Mark Neubauer has a financially affiliated business as a registered representative with LPL Financial LLC. Approximately 10% of his time is spent on this activity. He will offer Clients products and services from this activity. As a registered representative, he may receive separate yet typical compensation.

This practice represents a conflict of interest because it gives an incentive to recommend products or services based on the commission amount received. This conflict is mitigated by disclosures, procedures, and the firm's fiduciary obligation to place the best interest of the Client first and the Clients are not required to purchase any products. Clients have the option to purchase these products through another registered representative of their choosing.

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#### **Item 5 - Additional Compensation**

Mark Neubauer receives additional compensation for his role as a registered representative. He does not receive any performance-based fees.

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#### **Item 6 - Supervision**

Joseph McRae is the Chief Compliance Officer of VPWM Advisors LLC. Joseph McRae reviews Mark Neubauer's work through Client account reviews and quarterly personal transaction reports, as well as face-to-face and phone interactions. Joseph McRae can be reached at [joe@vpwealthmgmt.com](mailto:joe@vpwealthmgmt.com) or 763-587-7120.