



IAPD Report

Mohammed Ali Ansari

CRD# 1000440

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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

Mohammed Ali Ansari (CRD# 1000440)

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 **07/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	11/24/2021
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	12/10/2021

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	MARCUM WEALTH, LLC	134628	Ft Lauderdale, FL	05/26/2021 - 09/01/2021
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	West Palm Beach, FL	06/15/2020 - 04/09/2021
IA	DOYENS CAPITAL MANAGEMENT INC.	287470	Boca Raton, FL	03/22/2017 - 07/17/2020

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
Regulatory Event	3
Customer Dispute	2



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: **RAYMOND JAMES FINANCIAL SERVICES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 6694

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	11/24/2021
B Florida	Agent	Approved	12/06/2021
B Illinois	Agent	Approved	02/04/2022
B Massachusetts	Agent	Approved	03/08/2022
B Michigan	Agent	Approved	01/18/2022
B North Carolina	Agent	Approved	02/14/2023
B Texas	Agent	Approved	01/14/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
301 YAMATO ROAD
SUITE 3160
BOCA RATON, FL 33431

RAYMOND JAMES FINANCIAL SERVICES
Delray Beach, FL

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716
Firm ID#: 149018



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	12/10/2021
IA Texas	Investment Adviser Representative	Restricted Approval	01/19/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
301 East Yamato Road
Boca Raton, FL 33431

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
Delray Beach, FL



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 1 principal/supervisory exam, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	01/25/1996

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7TO)	Series 7TO	11/22/2021
Securities Industry Essentials Examination (SIE)	SIE	11/01/2021
General Securities Representative Examination (S7)	Series 7	04/15/2002
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/05/2001
National Commodity Futures Examination (S3)	Series 3	08/01/1989

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	01/13/2022
Uniform Investment Adviser Law Examination (S65)	Series 65	12/07/2016

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:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/26/2021 - 09/01/2021	MARCUM WEALTH, LLC	CRD# 134628	Ft Lauderdale, FL
IA	06/15/2020 - 04/09/2021	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	West Palm Beach, FL
IA	03/22/2017 - 07/17/2020	DOYENS CAPITAL MANAGEMENT INC.	CRD# 287470	Boca Raton, FL
B	04/05/2002 - 09/11/2002	SALOMON GREY FINANCIAL CORPORATION	CRD# 43413	DALLAS, TX
B	09/25/1995 - 11/16/1998	CORPORATE SECURITIES GROUP, INC.	CRD# 11025	ST. LOUIS, MO
B	07/28/1995 - 09/26/1995	ALLIED INVESTMENT SERVICES, INC.	CRD# 25310	OAK BROOK, IL
B	01/01/1991 - 07/26/1995	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	01/01/1991 - 07/26/1995	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	12/06/1988 - 09/07/1990	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	10/17/1988 - 12/21/1988	FIRST ATLANTIC INVESTMENT CORP.	CRD# 13062	
B	09/17/1986 - 05/20/1988	OPPENHEIMER & CO., INC.	CRD# 630	
B	09/25/1984 - 12/31/1984	WALL STREET FINANCIAL INC.	CRD# 13124	
B	10/09/1981 - 11/16/1984	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	

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
12/2021 - Present	Arthur Rottenstein, LLC.	Independent Contractor	N	Boca Raton, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2021 - Present	Boca Raton Financial Planners	Independent Contractor	N	Boca Raton, FL, United States
11/2021 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Boca Raton, FL, United States
11/2021 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Boca Raton, FL, United States
01/2017 - Present	Doyens Capital Management Inc.	Officer - CEO	N	Delray Beach, FL, United States
06/2020 - 10/2021	Marcum LLP	Director	N	Melville, NY, United States
04/2021 - 08/2021	Marcum Wealth, LLC	Financial Advisor	Y	Ft. Lauderdale, FL, United States
06/2020 - 04/2021	Raymond James Financial Services Advisors, Inc.	Investment Adviser Rep	Y	West Palm Beach, FL, United States
04/2020 - 04/2021	Marcum Financial Services LLC	Investment Adviser Rep	Y	Ft. Lauderdale, FL, United States
10/2015 - 07/2017	Experito Forensics Inc.	Principal - Forensic Accounting	N	Boca Raton, FL, 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)Name of Business: Ansari Foundation Address: 9435 Isles Cay Dr, Delray Beach, FL, 33446, United States Activity Type: Non profit Position/Title: Board Member, Chair of the Board, Officer - CEO, Founder Investment Related: Yes Start Date: 05/08/2023 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Charitable Foundation (501(c) (3) status) to dispense contributions to other charitable, religious and educational purposes, including, for such purposes, the making of distributions to organizations that qualify as exempt organizations under section 501(c)(3) IRC.

(2)Name of Business: Experito Forensics Inc. Address: 9435 Isles Cay Dr, Delray Beach, FL, 33446, United States Activity Type: Accounting/CPA Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 01/01/2022 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Experito Forensics is also a licensed Insurance Agency to primarily transact in non-variable Insurance products. \n\nCurrently, Experito's revenue is primarily derived from services in tax preparation & consulting, forensic accounting and consulting, preparing reports related to any projects related to forensic accounting and AML investigations, etc.

(3)Name of Business: Experito Forensics, Inc. Address: 9435 Isles Cay Dr, Delray Beach, FL, 33446, United States Activity Type: Accounting/CPA Position/Title: Owner/Proprietor Investment Related: No Start Date: 10/18/2021 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: I independently work as a consultant in tax and forensic accounting. I represent clients like individuals, law firms and financial institutions providing consulting services in Forensic accounting, tax disputes, tax preparation, dispute resolution, Anti-Money Laundering consulting, fraud investigations, securities litigations, etc. \n\nAdditionally, I provide reports and may testify in courts, arbitration and mediation panels on my findings, as needed by the clients.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

(4)Name of Business: Doyens Capital Management, Inc. Address: 17061 Emile Street, Apt 2, Boca Raton, FL, 33487, United States Activity Type: Support Company - Owner Position/Title: Officer - CEO Investment Related: No Start Date: 01/03/2017 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: It is a Sub S Corporation registered in Florida, but inactive. \nNo revenues, but will maintain the business entity's registration.



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
Regulatory Event	3
Customer Dispute	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

Reporting Source:	Individual
Regulatory Action Initiated By:	State of Illinois Department of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	05/08/2002
Docket/Case Number:	Resolved without a hearing therefore no docket #
Employing firm when activity occurred which led to the regulatory action:	No Firm - Independent Insurance Agent
Product Type:	Insurance
Allegations:	On August 21, 2001, the Florida Department of Insurance denied the applicant a non-resident insurance license. Denial was result of making material misstatement on application. On October 21, 2001, applicant completed a signed Illinois- non-resident application indicating no regulatory action had been taken by an other state. By denying no action taken by another state, applicant provided materially untrue information.
Current Status:	Final
Resolution:	Stipulation and Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 05/08/2002

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Other: Shall make certain that all questions answered on any future application to obtain non-resident or renewal license are true, correct and complete.

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,000.00

Portion Levied against individual: \$1,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 05/14/2002

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 3

Reporting Source: Individual

Regulatory Action Initiated By: State of Illinois Department of Insurance

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 12/23/1994

Docket/Case Number: Resolved without a hearing therefore no docket #

Employing firm when activity occurred which led to the regulatory action: Doyens, Inc.

Product Type: No Product

Allegations: Submission of producer license renewal fees were returned by the bank as non-sufficient funds on three separate occasions.

Current Status: Final

Resolution: Stipulation and Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 12/23/1994

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Other: Shall not issue checks to the Department unless a sufficient amount of money is on deposit to cover checks.

Monetary Sanction 1 of 1



Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$300.00
Portion Levied against individual: \$300.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 12/27/1994
Was any portion of penalty waived? No
Amount Waived:

Disclosure 3 of 3

Reporting Source: Individual
Regulatory Action Initiated By: FLORIDA DEPARTMENT OF INSURANCE
Sanction(s) Sought: Denial
Date Initiated: 02/23/2001
Docket/Case Number: 41041001-AG
Employing firm when activity occurred which led to the regulatory action: No Firm - Independent Insurance Agent
Product Type: Insurance
Allegations: BECAUSE OF OMISSION ON FL STATE LICENSE APPLICATION REGARDING REGULATORY ACTION BY ILLINOIS DEPT OF INSURANCE APPLICATION WAS DENIED.
Current Status: Final
Resolution: Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes
Resolution Date: 08/21/2001
Sanctions Ordered: Suspension
Other: SUSPENDED FOR SIX MONTHS IN THE STATE OF FLORIDA
Sanction 1 of 1
Sanction Type: Suspension
Capacities Affected: Insurance
Duration: Six Months
Start Date: 05/31/2001
End Date: 10/01/2001



Broker Statement

WAITING PERIOD OF SIX MONTHS BEFORE RE-APPLYING. LICENSE WAS
FIANLLY ISSUED 10/2001



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UNKNOWN
Allegations:	CUSTOMER CLAIMED SALE OF 3COM AND PURCHASE OF S3INC WAS UNAUTHORIZED RESULTING IN LOSSES OF \$7,204.10.
Product Type:	Other: 3COM AND S3INC
Alleged Damages:	\$7,204.10
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/30/1998
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	09/17/2010

Settlement Amount:

Individual Contribution Amount:

Firm Statement	THIS MATTER ARISES OUT OF TRANSACTIONS UNDERTAKEN AT A PRIOR OR PREVIOUS FIRM. WELLS FARGO ADVISORS HAS NO RECORDS OR INFORMATION RELATING TO THE ISSUES REPRESENTED IN THIS REPORT. THE MATTER IS CONSIDERED CLOSED.
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Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CORPORATE SECURITIES GROUP, INC.
Allegations:	ALLEGING DAMAGES OF \$30,000. ALLEGED UNAUTHROIZED TRADES'
Product Type:	
Alleged Damages:	\$30,000.00

Customer Complaint Information



Date Complaint Received:	02/20/1998
Complaint Pending?	No
Status:	Denied
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	NONE NAME OF EMPLOYING FIRM WHEN ALLEGED EVENT OCCURED-CORPOARTE SECURITIES GROUP (CSG) CSG COMPLIANCE DEPT CHECKED AND RESEARCHED THE COMPLAINT UPON RECEIPT. IT WAS DENIED & REJECTED ON 5/18/98



End of Report

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