



IAPD Report

Mark A Cohen

CRD# 1000489

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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

Mark A Cohen (CRD# 1000489)

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 **05/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CASTLEVIEW PARTNERS, LLC	CRD# 281410	05/23/2025

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
IA	BRIDGE ASSET MANAGEMENT, INC.	309207	BOCA RATON, FL	08/09/2024 - 12/10/2024
B	AVATAR SECURITIES, LLC	147763	NEW YORK, NY	05/19/2023 - 08/15/2023
IA	VICTORY INVESTMENT ADVISERS. INC.	309207	BOCA RATON, FL	09/11/2020 - 09/21/2022

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	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: **CASTLEVIEW PARTNERS, LLC**
Main Address: 4851 LBJ FREEWAY
SUITE 850
DALLAS, TX 75244
Firm ID#: 281410

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	05/23/2025

Branch Office Locations

CASTLEVIEW PARTNERS, LLC
Boca Raton, 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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
 Financial and Operations Principal Examination (S27)	Series 27	04/17/1997
 General Securities Principal Examination (S24)	Series 24	08/16/1996
 Registered Options Principal Examination (S4)	Series 4	06/21/1996

General Industry/Product Exams

Exam	Category	Date
 Securities Trader Exam (S57TO)	Series 57TO	05/19/2023
 Securities Industry Essentials Examination (SIE)	SIE	12/09/2015
 Limited Representative-Equity Trader Exam (S55)	Series 55	09/27/2006
 General Securities Representative Examination (S7)	Series 7	11/19/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/05/2019
  Uniform Combined State Law Examination (S66)	Series 66	06/30/2007



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	08/09/2024 - 12/10/2024	BRIDGE ASSET MANAGEMENT, INC.	CRD# 309207	BOCA RATON, FL
B	05/19/2023 - 08/15/2023	AVATAR SECURITIES, LLC	CRD# 147763	NEW YORK, NY
IA	09/11/2020 - 09/21/2022	VICTORY INVESTMENT ADVISERS. INC.	CRD# 309207	BOCA RATON, FL
B	11/23/2018 - 08/30/2019	PEAK BROKERAGE SERVICES, LLC	CRD# 157045	JUPITER, FL
IA	10/18/2018 - 08/30/2019	BLACKRIDGE ASSET MANAGEMENT, LLC	CRD# 277085	Boca Raton, FL
IA	01/06/2016 - 12/17/2018	VICTORY INVESTMENT ADVISERS INC.	CRD# 281304	Boca Raton, FL
B	03/13/2014 - 12/09/2015	TRADESPOT MARKETS INC.	CRD# 29683	DAVIE, FL
IA	08/02/2007 - 03/13/2014	OAK TREE CAPITAL ADVISERS, INC.	CRD# 144129	BOCA RATON, FL
B	09/19/2013 - 03/03/2014	BROADWAY DIRECT INVESTMENTS, LLC	CRD# 132475	STAMFORD, CT
B	12/05/2011 - 09/20/2012	LIGHTSPEED TRADING, LLC	CRD# 35519	NEW YORK, NY
B	04/16/1997 - 11/17/2010	ACTIVA CAPITAL MARKETS, INC.	CRD# 42619	MIAMI, FL
B	01/05/1993 - 05/07/1997	CROWN FINANCIAL ASSOCIATES, INC.	CRD# 22172	
B	12/01/1988 - 01/26/1993	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	12/17/1983 - 12/08/1988	MOORE & SCHLEY, CAMERON & CO.	CRD# 6917	
B	04/20/1985 - 02/18/1986	E. F. HUTTON & COMPANY INC	CRD# 235	
B	07/18/1984 - 04/04/1985	SHEARSON LEHMAN/AMERICAN EXPRESS INC.	CRD# 7506	



Registration & Employment History

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
04/2023 - Present	Bridge Asset Management, Inc.	President	Y	BOCA RATON, FL, United States
04/2023 - 08/2023	Avatar Securities. LLC	Trader	Y	New York City, NY, United States
09/2015 - 04/2023	Victory Investment Advisers, Inc.	President	Y	Boca Raton, FL, United States
10/2018 - 12/2019	BLACKRIDGE ASSET MANAGEMENT	IAR	Y	WILLIAMSVILLE, NY, United States
10/2018 - 12/2019	PEAK BROKERAGE SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	PALM BEACH GARDENS, FL, United States
03/2014 - 10/2018	TRADESPOT MARKETS, INC.	RR	Y	DAVIE, 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.

Licensed Insurance salesperson 2699 NE 25th Terrace Boca Raton, FL 33431 non-investment related, Independent agent, 08/2015, 0 hours/month, none during trading hours, I do around ten insurance transactions per year.



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	1

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 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/14/2002

Docket/Case Number: C07020093

Employing firm when activity occurred which led to the regulatory action: COHEN & CRAMER, INC.

Product Type: No Product

Other Product Type(s):

Allegations: NASD RULES 1120(A), 2110 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT A MEMBER FIRM, ACTING THROUGH COHEN, PERMITTED COHEN TO FUNCTION IN A REGISTERED CAPACITY WHILE HIS REGISTRATIONS WERE INACTIVE AS A RESULT OF HIS FAILURE TO COMPLY WITH THE REGULATORY ELEMENT OF NASD'S CONTINUING EDUCATION REQUIREMENTS.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 11/14/2002

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00



Other Sanctions Ordered:

Sanction Details: CENSURED AND FINED \$2,500, JOINTLY AND SEVERALLY

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Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Other

Other Sanction(s) Sought:

Date Initiated: 10/04/2002

Docket/Case Number: EXAMINATION NO. E07020438

Employing firm when activity occurred which led to the regulatory action: COHEN & CRAMER, INC.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Allegations: PRELIMINARY INVESTIGATION TO RECOMMEND FORMAL DISCIPLINARY ACTION AS RESULT OF FUNCTIONING IN A REGISTERED CAPACITY WHILE REGISTRATION WAS INACTIVE(INADVERTANTLY MISSED CE DATES, CE HAD EXPIRED UNKNOWN TO ME, HAD WRITTEN DOWN WRONG DATE IN NOTES.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 11/14/2002

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered: NONE

Sanction Details: \$2500 PAID 12/10/2002



End of Report

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