



IAPD Report

MARK JEFFREY SHAFER

CRD# 1305651

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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 JEFFREY SHAFER (CRD# 1305651)

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 **05/26/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GOODRICH ASSET MANAGEMENT LLC	CRD# 151582	11/23/2009

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
B	UBS FINANCIAL SERVICES INC.	8174	NEW ALBANY, OH	08/14/2000 - 05/13/2009
IA	UBS FINANCIAL SERVICES INC.	8174	NEW ALBANY, OH	08/10/2000 - 05/13/2009
B	J.C. BRADFORD & CO.	1287	NEW YORK, NY	11/03/1997 - 08/14/2000

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
Customer Dispute	2
Judgment/Lien	3



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: **GOODRICH ASSET MANAGEMENT LLC**
Main Address: NEWARK, OH
Firm ID#: 151582

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	11/23/2009

Branch Office Locations

GOODRICH ASSET MANAGEMENT LLC
NEW ALBANY, OH



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B General Securities Representative Examination (S7)	Series 7	09/15/1984
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/29/1999
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B Uniform Securities Agent State Law Examination (S63)	Series 63	02/08/1985
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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
B	08/14/2000 - 05/13/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW ALBANY, OH
IA	08/10/2000 - 05/13/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW ALBANY, OH
B	11/03/1997 - 08/14/2000	J.C. BRADFORD & CO.	CRD# 1287	NEW YORK, NY
B	04/29/1988 - 10/28/1997	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	02/15/1988 - 05/13/1988	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	
B	12/12/1984 - 02/15/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	10/29/1984 - 01/02/1985	CORNA & CO., INC.	CRD# 8124	

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
08/2009 - Present	GOODRICH ASSET MANAGEMENT, LLC	MANAGING MEMBER AND CHIEF COMPLIANCE OFFICER	Y	NEW ALBANY, OH, 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.

No information reported.



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
Customer Dispute	2
Judgment/Lien	3

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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/15/2010
Docket/Case Number:	2009016656501
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES, INC.
Product Type:	Other: UNSPECIFIED SECURITIES
Allegations:	NASD RULES 2110, 2510(B) - MARK SHAFER EXECUTED TRANSACTIONS IN A PUBLIC CUSTOMER'S ACCOUNTS WITHOUT THE CUSTOMER'S WRITTEN PERMISSION TO EXERCISE DISCRETION IN THE ACCOUNTS AND WITHOUT NOTIFYING THE CUSTOMER PRIOR TO THE TRANSACTIONS. SHAFER DID NOT HAVE HIS MEMBER FIRM'S WRITTEN PERMISSION TO EXERCISE DISCRETION IN ANY OF THE ACCOUNTS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



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: 12/15/2010

Sanctions Ordered: Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: 10 BUSINESS DAYS
Start Date: 01/03/2011
End Date: 01/14/2011

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, SHAFER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS SUSPENDED FROM ASSOCIATION WITH ANY MEMBER FIRM IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM JANUARY 3, 2011 THROUGH JANUARY 14, 2011.

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Suspension
Date Initiated: 12/15/2010
Docket/Case Number: [2009016656501](#)
Employing firm when activity occurred which led to the regulatory action: UBS FINANCIAL SERVICES, INC.

Product Type: Other: UNSPECIFIED SECURITIES

Allegations: NASD RULES 2110, 2510(B) - MARK SHAFER EXECUTED TRANSACTIONS IN PUBLIC CUSTOMER'S ACCOUNTS WITHOUT THE CUSTOMER'S WRITTEN PERMISSION TO EXERCISE DISCRETION IN THE ACCOUNTS AND WITHOUT NOTIFYING THE CUSTOMER PRIOR TO THE TRANSACTIONS. SHAFER DID NOT HAVE HIS MEMBER FIRM'S WRITTEN PERMISSION TO EXERCISE DISCRETION IN ANY OF THE ACCOUNTS.

Current Status: Final



Resolution: Acceptance, Waiver & Consent(AWC)

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: 12/15/2010

Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ANY CAPACITY

Duration: 10 BUSINESS DAYS

Start Date: 01/03/2011

End Date: 01/14/2011

Broker Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, SHAFER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS SUSPENDED FROM ASSOCIATION WITH ANY MEMBER FIRM IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IN IN EFFECT FROM JANUARY 3, 2011 THROUGH JANUARY 14, 2011.



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: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: (OCTOBER 1ST, 2007 TO AUGUST 4TH, 2008)
THE CLIENT ALLEGES THAT HIS FINANCIAL ADVISOR MADE VARIOUS UNAUTHORIZED TRADES IN HIS ACCOUNT. THE CLIENT ALSO RAISED CONCERNS ABOUT THE PERFORMANCE AND MANAGEMENT OF HIS ACCOUNT. DAMAGES ESTIMATED TO BE IN EXCESS OF \$5,000.00

Product Type: Other

Other Product Type(s): MISCELLANEOUS

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 08/04/2008

Complaint Pending? No

Status: Settled

Status Date: 04/13/2009

Settlement Amount: \$55,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CUSTOMER ALLEGES THAT THE ACCOUNT WAS MISUNDERSTOOD AND PROFESSIONALLY MISMANAGED IN TERMS OF THE CLIENT'S PROFILE. TIME PERIOD: 5/00 TO PRESENT.

Product Type: Equity - OTC

Alleged Damages: \$11,109.00

Customer Complaint Information

Date Complaint Received: 05/09/2002

Complaint Pending? No

Status: Denied



Status Date: 07/09/2002

Settlement Amount:

**Individual Contribution
Amount:**



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 3

Reporting Source: Individual
Judgment/Lien Holder: State of Ohio
Judgment/Lien Amount: \$1,068.00
Judgment/Lien Type: Tax
Date Filed with Court: 06/01/2016
Date Individual Learned: 11/22/2016
Type of Court: State Court
Name of Court: COURT OF COMMON PLEAS OF FRANKLIN COUNTY
Location of Court: COLUMBUS, FRANKLIN COUNTY, OHIO
Docket/Case #: 16JG018370
Judgment/Lien Outstanding? Yes

Disclosure 2 of 3

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$27,910.00
Judgment/Lien Type: Tax
Date Filed with Court: 06/01/2015
Date Individual Learned: 11/22/2016
Type of Court: Federal Court
Name of Court: Federal
Location of Court: COLUMBUS, FRANKLIN COUNTY, OHIO
Docket/Case #: 201506160080012
Judgment/Lien Outstanding? Yes

Disclosure 3 of 3

Reporting Source: Individual
Judgment/Lien Holder: CAPITAL ONE BANK USA NA
Judgment/Lien Amount: \$37,048.78
Judgment/Lien Type: Civil
Date Filed with Court: 06/28/2011
Type of Court: CIVIL
Name of Court: COURT OF COMMON PLEAS OF FRANKLIN COUNTY
Location of Court: COLUMBUS, FRANKLIN COUNTY, OHIO



Docket/Case #: 11 CV 007909

Judgment/Lien Outstanding? Yes



End of Report

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