



IAPD Report

MARK DOUGLAS PANFIL

CRD# 1875773

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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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 DOUGLAS PANFIL (CRD# 1875773)

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 **01/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AEGIS CAPITAL CORP.	CRD# 15007	10/07/2022
IA	AEGIS CAPITAL CORP.	CRD# 15007	10/07/2022

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **29** 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	MORGAN STANLEY	149777	El Segundo, CA	03/23/2016 - 11/04/2022
B	MORGAN STANLEY	149777	El Segundo, CA	03/22/2016 - 11/04/2022
IA	RBC CAPITAL MARKETS, LLC	31194	EL SEGUNDO, CA	03/27/2009 - 04/15/2016

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
Customer Dispute	1
Termination	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 **29** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**
Main Address: 1345 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10105
Firm ID#: 15007

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/07/2022
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/07/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	10/07/2022
B	Alabama	Agent	Approved	10/07/2022
B	Arizona	Agent	Approved	10/07/2022
B	California	Agent	Approved	10/07/2022
IA	California	Investment Adviser Representative	Approved	10/10/2022
B	Colorado	Agent	Approved	10/07/2022
B	Delaware	Agent	Approved	10/17/2022
B	Florida	Agent	Approved	10/17/2022
B	Georgia	Agent	Approved	10/07/2022
B	Illinois	Agent	Approved	10/26/2022
B	Indiana	Agent	Approved	10/12/2022



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	10/07/2022
B Louisiana	Agent	Approved	11/07/2022
B Maryland	Agent	Approved	10/07/2022
B Massachusetts	Agent	Approved	10/07/2022
B Minnesota	Agent	Approved	01/23/2023
B Mississippi	Agent	Approved	10/07/2022
B Missouri	Agent	Approved	10/07/2022
B Montana	Agent	Approved	10/07/2022
B Nevada	Agent	Approved	10/07/2022
B New Jersey	Agent	Approved	10/07/2022
B New York	Agent	Approved	10/07/2022
B North Carolina	Agent	Approved	08/17/2023
B Ohio	Agent	Approved	08/05/2024
B Oregon	Agent	Approved	10/11/2022
B Pennsylvania	Agent	Approved	10/07/2022
B Rhode Island	Agent	Approved	10/07/2022
B South Carolina	Agent	Approved	10/07/2022
B Texas	Agent	Approved	10/07/2022
IA Texas	Investment Adviser Representative	Restricted Approval	10/07/2022



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	11/04/2022
B Wisconsin	Agent	Approved	10/07/2022

Branch Office Locations

AEGIS CAPITAL CORP.
28441 HIGHRIDGE RD
SUITE #102
ROLLING HILLS ESTATES, CA 90274



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, 3 general industry/product exams, 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	10/22/1990
General Securities Representative Examination (S7)	Series 7	09/17/1988

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	06/23/1992
Uniform Securities Agent State Law Examination (S63)	Series 63	09/14/1990

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	03/23/2016 - 11/04/2022	MORGAN STANLEY	CRD# 149777	El Segundo, CA
B	03/22/2016 - 11/04/2022	MORGAN STANLEY	CRD# 149777	El Segundo, CA
IA	03/27/2009 - 04/15/2016	RBC CAPITAL MARKETS, LLC	CRD# 31194	EL SEGUNDO, CA
B	03/26/2009 - 04/15/2016	RBC CAPITAL MARKETS, LLC	CRD# 31194	EL SEGUNDO, CA
B	07/01/2003 - 03/27/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	ROLLING HILLS ESTATI CA
IA	07/01/2003 - 03/27/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	ROLLING HILLS ESTATI CA
B	06/13/2003 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
IA	06/13/2003 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	ROLLING HILLS ESTATI CA
IA	07/08/1997 - 06/26/2003	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ROLLING HILLS ESTATI CA
B	07/31/1993 - 06/26/2003	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	05/09/1990 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	10/18/1988 - 05/17/1990	BARABAN SECURITIES, INC.	CRD# 7659	LOS ANGELES, CA

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
10/2022 - Present	AEGIS CAPITAL CORP	REGISTERED REPRESENTATIVE	Y	Rolling Hills Estates, CA, United States
03/2016 - Present	MORGAN STANLEY	FINANCIAL ADVISOR	Y	EL SEGUNDO, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2016 - 10/2022	Morgan Stanley Private Bank, National Association	FINANCIAL ADVISOR	Y	New York, NY, 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) Queens Gaming Collective, Inc., 2455 Chelsea Pl. Santa Monica, CA 90404; Investment related; Women's gaming co-op; Investor (\$25k); 0 hours devoted to business.
- 2) SKVI, El Segundo, CA 90245; Investment related; Underwear company; Investor (15% equity, \$100k); 0 hours devoted to business.
- 3) Blue Anchor Wealth Management, 28441 Highridge Rd., #102 Rolling Hills Estates, CA 90274; DBA Securities offered through Aegis Capital Corp.
- 4) ACC Corp., 1305 Walt Whitman Rd. Suite 120 Melville, NY 11747; Investment related; Agent/Producer, General Insurance Agency; Start date: 10/26/2022; 5-10 hours devoted to business during securities trading hours.



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
Customer Dispute	1
Termination	1

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 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: CALIFORNIA CLIENT COMPLAINS THAT WACHOVIA FAILED TO PROPERLY REPRESENT THE CLIENT'S INTERESTS TO HIS DETRIMENT WITH RESPECT TO THE CLIENT'S THREE ANNUITIES, NONE OF WHICH HAVE SUFFERED ANY LOSSES, NONE OF WHICH HAVE CHARGED SURRENDER CHARGES AND ONLY ONE WHICH WAS PURCHASED THROUGH WACHOVIA SECURITIES. THESE ANNUITIES ARE (I) A PUTNAM ALL STATE VARIABLE ANNUITY PURCHASED ON 10/18/01 FOR ABOUT \$163,413 AND VALUED AT ABOUT \$208,467 INCLUDING ONE WITHDRAWAL, (II) A JACKSON NATIONAL FIXED ANNUITY PURCHASED ON 3/10/05 FOR \$90,000 AND VALUED AT ABOUT \$96,056 INCLUDING ONE WITHDRAWAL AND (III) A PACIFIC LIFE VARIABLE ANNUITY PURCHASED ON 10/1/2002 FOR \$300,000 FROM WHICH THE CLIENT WITHDREW \$70,000 ON 1/4/2005 AND WHICH THE CLIENT SURRENDERED FOR ABOUT \$322,576 ON 10/12/2005. ATTORNEY REQUESTS \$25,000 FOR SETTLEMENT WITHOUT PROVIDING ANY FURTHER SPECIFICITY.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 04/17/2006

Complaint Pending? No



Status:	Denied
Status Date:	01/22/2007
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	WACHOVIA SECURITIES AND FINANCIAL ADVISOR DENIED MATTER COMPLETELY. THERE IS NO FINDING OF WRONGDOING ON EITHER THE PART OF THE FINANCIAL ADVISOR OR THE FIRM.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: MORGAN STANLEY SMITH BARNEY

Termination Type: Voluntary Resignation

Termination Date: 10/07/2022

Allegations: Concerns regarding representative compensating another employee outside of Firm systems and without management knowledge or approval, and allegations made by a non-client of undisclosed outside business activities. No known customer harm.

Product Type: No Product

Reporting Source: Individual

Firm Name: MORGAN STANLEY SMITH BARNEY

Termination Type: Voluntary Resignation

Termination Date: 10/07/2022

Allegations: Concerns regarding representative compensating another employee outside of Firm systems and without management knowledge or approval, and allegations made by a non-client of undisclosed outside business activities. No known customer harm.

Product Type: No Product



End of Report

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