



## IAPD Report

# MARC EVAN NUFRIO

CRD# 1902705

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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

### MARC EVAN NUFRIO (CRD# 1902705)

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 **04/02/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	STONEX SECURITIES INC.	CRD# 18456	09/12/2014
<b>IA</b>	STONEX ADVISORS INC.	CRD# 174182	01/30/2015

### 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
<b>IA</b>	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	7365	ROCKAWAY, NJ	01/02/2013 - 01/30/2015
<b>B</b>	WRP INVESTMENTS, INC.	7365	ROCKAWAY, NJ	01/02/2013 - 09/12/2014
<b>IA</b>	ONEAMERICA SECURITIES, INC.	4173	ROCKAWAY, NJ	01/12/2012 - 12/31/2012

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
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 6 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **STONEX SECURITIES INC.**  
Main Address: 2 PERIMETER PARK SOUTH  
SUITE 500 WEST  
BIRMINGHAM, AL 35243  
Firm ID#: 18456

Regulator	Registration	Status	Date
<b>B</b> FINRA	Direct Participation Programs	Approved	09/12/2014
<b>B</b> FINRA	General Securities Representative	Approved	09/12/2014
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	09/12/2014
<b>B</b> Florida	Agent	Approved	01/03/2018
<b>B</b> Louisiana	Agent	Approved	07/18/2024
<b>B</b> New Jersey	Agent	Approved	09/12/2014
<b>B</b> New York	Agent	Approved	09/12/2014
<b>B</b> Texas	Agent	Approved	06/20/2025
<b>B</b> Virginia	Agent	Approved	10/01/2024

#### Branch Office Locations

Palmetto, FL

#### Employment 2 of 2

Firm Name: **STONEX ADVISORS INC.**  
Main Address: 2 PERIMETER PARK SOUTH  
SUITE 500 WEST



## Qualifications

Firm ID#: BIRMINGHAM, AL 35243  
174182

Regulator	Registration	Status	Date
<b>IA</b> Florida	Investment Adviser Representative	Approved	06/11/2019

### Branch Office Locations

**STONEX ADVISORS INC.**  
5410 Morey Farms Loop  
Palmetto, FL 34221



## 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, 4 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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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	12/28/1994
<b>B</b> Direct Participation Programs Representative Examination (S22)	Series 22	05/25/1990
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/22/1989

#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	12/14/2011
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	04/29/1991

### 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	01/02/2013 - 01/30/2015	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	CRD# 7365	ROCKAWAY, NJ
B	01/02/2013 - 09/12/2014	WRP INVESTMENTS, INC.	CRD# 7365	ROCKAWAY, NJ
IA	01/12/2012 - 12/31/2012	ONEAMERICA SECURITIES, INC.	CRD# 4173	ROCKAWAY, NJ
B	03/30/2010 - 12/31/2012	ONEAMERICA SECURITIES, INC.	CRD# 4173	ROCKAWAY, NJ
B	06/24/2003 - 12/08/2009	TFS SECURITIES, INC.	CRD# 20626	LINCROFT, NJ
B	05/03/1999 - 06/11/2003	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	04/04/1994 - 05/03/1999	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	11/17/1993 - 04/04/1994	MARKETING ONE SECURITIES, INC.	CRD# 16611	PORTLAND, OR
B	12/16/1989 - 01/10/1994	NORTHWESTERN MUTUAL INVESTMENT SERVICES, INC.	CRD# 2881	MILWAUKEE, WI
B	02/27/1990 - 11/30/1993	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI

### 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
01/2015 - Present	STONEX ADVISORS INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	PALMETTO, FL, United States
09/2014 - Present	STONEX SECURITIES INC	REGISTERED REPRESENTATIVE	Y	PALMETTO, FL, United States



## Registration & Employment History



### 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)NUFRIO FINANCIAL GROUP LLC,  
138 Lackawanna Drive  
Stanhope, NJ 07874

NATURE OF BUS: INSURANCE,  
TITLE: MEMBER/MGR,  
DUTIES: INSURANCE SALES,  
TIME SPENT: 3 HOURS A DAY,  
COMPENSATION: COMMISSION, LLC INCOME,

2) Marc E. Nufrio DBA Nufrio Wealth Management - 5410 Morey Farms Loop Palmetto, Florida 34211  
Nature of Business: Investment Representative For StoneX Securities Inc.  
Investment Related: Yes  
Business Position: Owner-Marc E. Nufrio DBA Nufrio Wealth Management  
Business Duties: Investment Representative For StoneX Securities Inc.  
Business Start Date: 09/13/2022  
Approximately 250 hours spent on this OBA with 8 during market hours

3)MARC E NUFRIO  
138 Lackawanna Drive  
Stanhope, NJ 07874  
SOLE-PROPRIETORSHIP,  
NATURE OF BUSINESS: REAL ESTATE,  
TITLE: REALTOR,  
DUTIES: REALTOR,  
TIME SPENT: 10 HO  
URS A YEAR,  
COMPENSATION: COMMISSIONS



## 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
Termination	1

### 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:** TFS SECURITIES, INC

**Termination Type:** Discharged

**Termination Date:** 12/08/2009

**Allegations:** MR. NUFRIO KNOWINGLY ALLOWED AN UNLICENSED THIRD-PARTY TO BE MATERIALLY INVOLVED IN A SECURITIES TRANSACTION ON HIS BEHALF IN WHICH MR. NUFRIO WAS COMPENSATED. CLIENT ALLEGED THAT HE WAS INFORMED BY THIRD-PARTY THAT NO SALES COMMISSION WOULD BE CHARGED IN WHICH HE WAS.

**Product Type:** Mutual Fund

**Firm Statement** AS A RESULT OF A CLIENT INQUIRY, THE FIRM RENDERED MR. NUFRIO INACTIVE ON 8-24-09 AND BEGAN AN INTERNAL REVIEW. THE FIRM DETERMINED THAT MR. NUFRIO KNOWINGLY ALLOWED AN UNLICENSED THIRD-PARTY TO BE MATERIALLY INVOLVED IN A SECURITIES TRANSACTION ON HIS BEHALF IN WHICH MR. NUFRIO RECEIVED COMPENSATION. THE CLIENT ALLEGED THAT HE WAS INFORMED BY THE THIRD-PARTY THAT THERE WOULD BE NO SALES COMMISSION ON THESE TRANSACTIONS. WITHOUT CONCLUSIVELY DETERMINING WHETHER THE CLIENT'S ALLEGATION WAS TRUE, AND BECAUSE SALES COMMISSIONS WERE CHARGED, THE FIRM FACILITATED MR. NUFRIO'S REIMBURSEMENT OF THESE COMMISSIONS TO THE CLIENT IN ORDER TO MAINTAIN GOOD RELATIONS WITH THE CLIENT. THE FIRM HAS ALSO DEEMED THE INVESTMENT SUITABLE AND THE CLIENT ACKNOWLEDGED BOTH HIS UNDERSTANDING OF THE INVESTMENTS AND THAT ALL FORMS SUPPLIED WERE SIGNED BY HIM.

**Reporting Source:** Individual



<b>Firm Name:</b>	TFS SECURITIES INC.
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	12/08/2009
<b>Allegations:</b>	CLIENT ALLEDGED THAT HE WAS INFORMED BY CLIENT'S ACCOUNTANT THAT NO SALES COMMISSION WOULD BE CHARGED IN WHICH CLIENT WAS IN 2007.
<b>Product Type:</b>	Mutual Fund



## End of Report

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