



IAPD Report

Derek Robert Marquis

CRD# 2072648

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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

Derek Robert Marquis (CRD# 2072648)

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 **01/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	08/23/2021
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	08/23/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	RAYMOND JAMES & ASSOCIATES, INC.	705	WESTLAKE VILLAGE, CA	03/27/2009 - 08/23/2021
B	RAYMOND JAMES & ASSOCIATES, INC.	705	WESTLAKE VILLAGE, CA	03/26/2009 - 08/23/2021
B	WACHOVIA SECURITIES, LLC	19616	WESTLAKE VILLAGE, CA	07/01/2003 - 03/27/2009

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	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 **13** 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	08/23/2021
B FINRA	General Securities Sales Supervisor	Approved	08/23/2021
B Arizona	Agent	Approved	08/23/2021
B California	Agent	Approved	08/23/2021
B Colorado	Agent	Approved	08/23/2021
B Florida	Agent	Approved	08/29/2023
B Georgia	Agent	Approved	05/25/2023
B Nevada	Agent	Approved	09/01/2021
B New York	Agent	Approved	08/23/2021
B North Carolina	Agent	Approved	08/30/2021
B Ohio	Agent	Approved	08/08/2022
B Texas	Agent	Approved	08/23/2021
B Utah	Agent	Approved	08/23/2021



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	08/23/2021
B Wisconsin	Agent	Approved	08/23/2021

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
 3205 Old Conejo Road
 Suite 203
 Newbury Park, CA 91320

RAYMOND JAMES FINANCIAL SERVICES
 Thousand Oaks, CA

Employment 2 of 2

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

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	08/23/2021
IA Texas	Investment Adviser Representative	Restricted Approval	08/23/2021

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
 3205 Old Conejo Rd
 Suite 203
 Newbury Park, CA 91320

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
 Thousand Oaks, CA



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	08/07/1995

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	09/05/1990

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	04/10/1999
Uniform Securities Agent State Law Examination (S63)	Series 63	10/10/1990

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



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	03/27/2009 - 08/23/2021	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	WESTLAKE VILLAGE, C
B	03/26/2009 - 08/23/2021	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	WESTLAKE VILLAGE, C
B	07/01/2003 - 03/27/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	WESTLAKE VILLAGE, C
IA	07/01/2003 - 03/27/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	WESTLAKE VILLAGE, C
IA	04/26/1999 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	WESTLAKE VILLAGE, C
B	05/06/1998 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	01/04/1993 - 05/15/1998	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	09/06/1990 - 01/14/1993	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY

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
08/2021 - Present	Raymond James Financial Services	Registered Representative	Y	Newbury Park, CA, United States
08/2021 - Present	Raymond James Financial Services Advisors	Investment Advisor Representative	Y	Newbury Park, CA, United States
03/2009 - 08/2021	RAYMOND JAMES & ASSOCIATES, INC.	FA	Y	WESTLAKE VILLAGE, CA, 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: Address: 633 Camino Del Sol, Newbury Park, CA, 91320, United States Activity Type: Other Position/Title: Notary (Paid) Investment Related: No Start Date: 05/06/2023 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: General Notary Duties.

(2) Name of Business: Legal Docs For You Address: 633 Camino Del Sol, Newbury park, CA, 91320, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 08/01/2025 Hours per month devoted to this



Registration & Employment History



OTHER BUSINESS ACTIVITIES

business: 11-20 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Certificate in Paralegal - Legal Document Assistant \n

(3) Name of Business: Marquis Consulting, Inc. Address: 3205 Old Conejo Rd 2nd Fl Suite C, Newbury Park, CA, 91320-2179, United States Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 07/01/2021 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 41+ Description of duties: Support Company for my RJFS business. Deposit paycheck, pay my monthly bills for my office.

(4) Name of Business: Marquis Wealth Management Group Address: 3205 Old Conejo Rd Fl 2, Newbury Park, CA, 91320-2179, United States Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 08/23/2021 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 41+ Description of duties: This my group name for my RJFS practice in branch ETN.\n

(5) Name of Business: The Jewel Levine Foundation Address: 633 Camino Del Sol, Newbury Park, CA, 91320, United States Activity Type: Non profit Position/Title: Officer - Treasurer, Founder Investment Related: Yes Start Date: 09/22/2016 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Book Keeping, marketing, Organizing, annual reports Check writing, TWO SIGNATURES REQUIRED. My Title in the Bylaws is: Director and Chief Financial Officer.



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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLIENTS ALLEGED SUITABILITY. (DAMAGES NOT SPECIFIED BUT BELIEVED TO EXCEED \$5,000.) (08/01/2008 -05/19/2009)
Product Type:	Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES NOT SPECIFIED BUT BELIEVED TO EXCEED \$5,000.
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:	05/14/2009
Complaint Pending?	No
Status:	Settled
Status Date:	07/23/2009
Settlement Amount:	\$9,500.00



Individual Contribution Amount: \$0.00

Firm Statement SETTLED.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC

Allegations: **UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$15,000 OR MORE** CLIENTS ALLEGED SUITABILITY - DAMAGES NOT SPECIFIED BUT BELIEVED TO EXCEED \$5,000. (8/01/08 - 5/19/09)

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES NOT SPECIFIED BUT BELIEVED TO EXCEED \$5,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC repair or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/14/2009

Complaint Pending? No

Status: Settled

Status Date: 07/23/2009

Settlement Amount: \$9,500.00

Individual Contribution Amount: \$0.00

Broker Statement **UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$15,000 OR MORE**

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INC.

Allegations: CUSTOMERS STATE, IN WRITING, "WE FEEL THE INVESTMENTS WERE NOT AS SUITABLE AS RECOMMENDED" IN CONNECTION WITH FOUR ACCOUNTS CUSTOMERS MAINTAINED FROM APRIL 2000 TO SEPTEMBER 2003

Product Type: Other



Other Product Type(s): MUTUAL FUNDS
ANNUITIES

Alleged Damages: \$89,428.50

Customer Complaint Information

Date Complaint Received: 12/20/2006

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/04/2007

Settlement Amount:

**Individual Contribution
Amount:**

Firm Statement MATTER CLOSED AS CUSTOMERS HAVE NOT PURSUED CLAIM.
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Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** PRUDENTIAL SECURITIES INC.

Allegations: CUSTOMERS STATE, IN WRITING, "WE FEEL THE INVESTMENTS WERE NOT AS SUITABLE AS RECOMMENDED" IN CONNECTION WITH FOUR ACCOUNTS CUSTOMERS MAINTAINED FROM APRIL 2000 TO SEPTEMBER 2003

Product Type: Other

Other Product Type(s): MUTUAL FUNDS ANNUITIES

Alleged Damages: \$89,428.50

Customer Complaint Information

Date Complaint Received: 12/20/2006

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/04/2007

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 3 of 3

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** PRUDENTIAL SECURITIES INC.

Allegations: CLIENT ALLEGES UNSUITABILITY WITH THE PURCHASES OF SELECTED STOCK PICKS. NO DAMAGES SPECIFIED, HOWEVER IN EXCESS OF \$5,000.00.

Product Type: Other



Other Product Type(s): EQUITIES

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/25/2005

Complaint Pending? No

Status: Denied

Status Date: 12/29/2005

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INC.

Allegations: CLIENT ALLEGES UNSUITABILITY WITH THE PURCHASES OF SELECTED STOCK PICKS. NO DAMAGES SPECIFIED, HOWEVER IN EXCESS OF \$5,000.00.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/25/2005

Complaint Pending? No

Status: Denied

Status Date: 12/29/2005

Settlement Amount:

Individual Contribution Amount:



End of Report

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