



IAPD Report

MARC STEVEN WOLFF

CRD# 2339538

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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

MARC STEVEN WOLFF (CRD# 2339538)

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 **03/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BEACON POINTE ADVISORS, LLC	CRD# 119290	03/16/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	PURSHE KAPLAN STERLING INVESTMENTS	35747	Sarasota, FL	02/02/2022 - 11/04/2024
IA	SOUTHERN TRUST FINANCIAL PLANNING	131377	SARASOTA, FL	08/16/2004 - 03/03/2022
B	SECURITIES AMERICA, INC.	10205	SARASOTA, FL	06/01/2009 - 02/03/2022

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
Customer Dispute	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **BEACON POINTE ADVISORS, LLC**

Main Address: 24 CORPORATE PLAZA
SUITE 150
NEWPORT BEACH, CA 92660

Firm ID#: 119290

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	03/16/2022
	Texas	Investment Adviser Representative	Restricted Approval	03/07/2025

Branch Office Locations

BEACON POINTE ADVISORS, LLC

1943 Morrill Street Unit 1
Sarasota, FL 34242



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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/07/2000
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/27/2000

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/03/1993

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	09/29/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/03/1993



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	02/02/2022 - 11/04/2024	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Sarasota, FL
IA	08/16/2004 - 03/03/2022	SOUTHERN TRUST FINANCIAL PLANNING	CRD# 131377	SARASOTA, FL
B	06/01/2009 - 02/03/2022	SECURITIES AMERICA, INC.	CRD# 10205	SARASOTA, FL
B	06/20/2008 - 04/22/2009	MOORS & CABOT, INC.	CRD# 594	SARASOTA, FL
IA	10/17/2007 - 04/22/2009	MOORS & CABOT, INC	CRD# 594	SARASOTA, FL
B	07/15/2005 - 06/20/2008	MOORS & CABOT FINANCIAL ADVISORS, LLC	CRD# 132798	SARASOTA, FL
B	03/19/1999 - 08/21/2006	MOORS & CABOT, INC.	CRD# 594	SARASOTA, FL
B	01/20/1995 - 04/20/1999	FIRST SOUTHEASTERN SECURITIES GROUP, INCORPORATED	CRD# 14538	TAMPA, FL
B	05/24/1993 - 03/15/1995	MERIDIAN, DUNHILL & CO., INC.	CRD# 15294	

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
02/2022 - Present	Beacon Pointe Advisors	PARTNER, MANAGING DIRECTOR	Y	Sarasota, FL, United States
02/2022 - 11/2024	Purshe Kaplan Sterling Investments	Registered Representative	Y	Albany, NY, United States
09/2009 - 02/2022	SOUTHERN TRUST FINANCIAL PLANNING	INVESTMENT ADVISOR REPRESENTATIVE	Y	SARASOTA, FL, United States
05/2009 - 02/2022	SECURITIES AMERICA, INC.	REG REP	Y	SARASOTA, 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) 1. SKRE LLC 2. Investment related 3. 1109 Crescent St., Sarasota, FL 34242 4. 4 Beach cottages/ rentals 5. Owner 6. 06/2017 7. 5 hrs/mo 8. 0 hrs during trading 9. Accept Bookings on Air BNB, VRBO and there is a property manager to collect rents 10. Collect rent and pay expenses 2) 1. DIP Real Estate Properties 2. Investment related 3. 1943 Morrill St., Sarasota, FL 34236 4. Rental 5. President/owner 6. 10/2012 7. 1 hr/mo 8. 0 hrs during trading 9. Collect renter and pay expenses. We work in the building that I own 10. Collect rent and pay expenses 3) 1. Ria Beacon Pointe 2. Investment related 3. Newport, CA 4. Investment Advisory, IAR, investment related 5. Managing partner 6. 02/02/2022 7. 100 hrs monthly 8. 75 hrs during trading 9. Sell fixed annuities, advisory accounts, insurance, long term care 10. Compensation: advisory, salary 4)

1. WIP (Wolff Investment Planning 2. Investment related 3. 1943 Morrill St., Sarasota, FL 34236 4. Financial Firm Operation 5. President 6. 07/2003 7. 8 hrs/mo 8. 3 hrs during trading 9. All office expenses - supplies, utilities, salaries 10 This is the company that runs my current firm. Since Beacon Pointe is acquiring us this company will pretty much be dormant in the future except it's only role will be to hold Beacon Pointe Equity. 5) 1. Fixed Insurance 2. Investment related 3. See office of employment 4. Fixed / Traditional Insurance 5. Agent 6. 2/2020 7. 10 hrs/mo 8. 10 hrs during trading 9. Sales of fixed / traditional insurance products



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

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:	Firm
Employing firm when activities occurred which led to the complaint:	MOORS & CABOT, INC.
Allegations:	CUSTOMER ALLEGED BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND NEGLIGENT SUPERVISION. SPECIFICALLY, CUSTOMER CLAIMS THAT REPRESENTATIVE FAILED TO ADEQUATELY EXPLAIN THE FEES, COSTS, ILLIQUIDITY, COMMISSIONS AND RISK FACTORS ASSOCIATED WITH THE INVESTMENT.
Product Type:	Annuity-Variable
Alleged Damages:	\$50,000.00
Alleged Damages Amount Explanation (if amount not exact):	CUSTOMER SEEKING COMPENSATORY DAMAGES RANGING FROM 50,000.00 TO 100,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	14-02352



Filing date of arbitration/CFTC reparation or civil litigation: 07/21/2014

Customer Complaint Information

Date Complaint Received: 08/18/2014

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 08/18/2014

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 14-02352

Date Notice/Process Served: 08/18/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/08/2014

Monetary Compensation Amount: \$14,900.00

Individual Contribution Amount: \$0.00

Firm Statement CLIENT SETTLED WITH MOORS & CABOT FOR \$14,900. CLIENT SETTLED WITH MARC WOLFF FOR ATTORNEY'S FEES IN THE AMOUNT \$5,100.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MOORS AND CABOT

Allegations: CLAIMANT ALLEGES THAT SOMETIME PRIOR TO JULY 2009, THE REPRESENTATIVE MISREPRESENTED A VARIABLE ANNUITY THAT HE SOLD TO THE CLAIMANT.

Product Type: Annuity-Variable

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): STATEMENT OF CLAIM ALLEGES DAMAGES BETWEEN \$50,000 AND \$100,000.

Is this an oral complaint? No

Is this a written complaint? Yes



Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 14-02352

Filing date of arbitration/CFTC reparation or civil litigation: 07/21/2014

Customer Complaint Information

Date Complaint Received: 10/01/2014

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 10/01/2014

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 14-02352

Date Notice/Process Served: 10/01/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/08/2014

Monetary Compensation Amount: \$14,900.00

Individual Contribution Amount: \$0.00

Broker Statement

CLAIMANT'S CLAIM IS COMPLETELY WITHOUT MERIT. AS I RECALL, HE CONTACTED ME UNSOLICITED A NUMBER OF YEARS AGO AND LAST INVESTED WITH ME OVER 6 YEARS AGO AT MY OLD FIRM. HE HAS NOT BEEN A CLIENT FOR QUITE A WHILE AND I HAVE NOT HEARD FROM HIM FOR CLOSE TO 5 YEARS. DURING THE COURSE OF OUR RELATIONSHIP, HE CONTINUOUSLY SOUGHT MORE INCOME THAN HE COULD REALISTICALLY TAKE FROM HIS ACCOUNT WITHOUT CAUSING HIMSELF FINANCIAL PROBLEMS. I TRIED TO WARN HIM MANY TIMES ABOUT THOSE POTENTIAL FINANCIAL PROBLEMS BUT MY ADVISE WAS IGNORED. ANY LOSSES HE HAS SUSTAINED OVER THE YEARS ARE PURELY A RESULT OF HIS OWN DECISIONS, NOT ANY ADVICE I GAVE OR ATTEMPTED TO GIVE HIM. CLAIMANT WAS A VERY HEADSTRONG AND CHALLENGING CUSTOMER. AS I RECALL HE CALLED FREQUENTLY, SOMETIMES DAILY, CHANGING HIS MIND AND WANTING EXPLANATIONS ABOUT HIS INVESTMENTS. 12/18/2014: WITHOUT ADMITTING ANY LIABILITY OR WRONGDOING BY EITHER MOORS & CABOT OR THE REPRESENTATIVE, MOORS & CABOT SETTLED THIS MATTER FOR \$14,900.



"IT IS VERY IMPORTANT TO NOTE THAT MOORS & CABOT SETTLED THIS CASE WITHOUT SEEKING ANY INFORMATION OR MONEY FROM ME. IT SEEMS THEY WANTED THE CASE CLOSED QUICKLY AND MADE A BUSINESS DECISION TO DO SO VERSUS PAYING LEGAL COSTS WHICH COULD HAVE EXCEEDED THE SETTLEMENT AMOUNT. AS PREVIOUSLY MENTIONED I BELIEVE THE ALLEGATIONS IN CLAIMANT'S STATEMENT OF CLAIM TO BE COMPLETELY FRIVOLOUS AND GROUNDLESS. ON TOP OF THAT, IT WAS FILED MORE THAN 6 YEARS AFTER THE PURCHASE OF THE PRODUCT, WHICH IS BEYOND THE STATUTES OF LIMITATIONS. THE CLAIMANT MORE THAN LIKELY TRIED TO MANAGE THE ACCOUNT HIMSELF INEFFECTIVELY FOR THOSE 6 YEARS, SO LOOKED FOR ANOTHER WAY TO GENERATE FUNDS VIA THIS CLAIM. IT IS ALSO IMPORTANT TO NOTE THAT THE CLAIMANT STATED IN WRITING THERE WOULD BE NO OBJECTION TO ME OBTAINING FULL EXPUNGEMENT."



End of Report

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