IAPD Report

MARK JOHN EVANS

CRD# 2445560

Section Title | **Page(s)**

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 JOHN EVANS (CRD# 2445560)

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 **03/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	10/28/2005
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	10/28/2005

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **41** 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	PNC INVESTMENTS	129052	PITTSBURGH, PA	01/01/2004 - 11/02/2005
IA	PNC INVESTMENTS	129052	CHERRY HILL, NJ	01/01/2004 - 11/02/2005
IA	HILLIARD LYONS ASSET MANAGEMENT	453	CHERRY HILL, NJ	10/18/2002 - 01/01/2004

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	2

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 **41** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Address: 200 VESEY ST.
NEW YORK, NY 10281

Firm ID#: 31194

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	10/28/2005
B	FINRA	General Securities Representative	Approved	10/28/2005
B	Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B	MEMX LLC	General Securities Representative	Approved	11/01/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/01/2020
B	NYSE American LLC	General Securities Representative	Approved	10/28/2005

Qualifications

	Regulator	Registration	Status	Date
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/28/2005
B	NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	03/01/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/01/2008
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Texas, LLC	General Securities Representative	Approved	01/13/2009
B	New York Stock Exchange	General Securities Representative	Approved	10/28/2005
B	Alaska	Agent	Approved	08/09/2021
B	Arizona	Agent	Approved	08/05/2021
B	California	Agent	Approved	11/22/2011
B	Colorado	Agent	Approved	11/22/2011
B	Connecticut	Agent	Approved	06/25/2009
B	Delaware	Agent	Approved	11/26/2008
B	District of Columbia	Agent	Approved	02/17/2026
B	Florida	Agent	Approved	10/28/2005
B	Georgia	Agent	Approved	10/19/2017
B	Hawaii	Agent	Approved	06/01/2026

Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	05/12/2022
B	Indiana	Agent	Approved	08/03/2021
B	Iowa	Agent	Approved	09/22/2022
B	Maine	Agent	Approved	01/04/2022
B	Maryland	Agent	Approved	11/22/2011
B	Massachusetts	Agent	Approved	11/12/2009
B	Michigan	Agent	Approved	10/24/2017
B	Minnesota	Agent	Approved	10/22/2020
B	Mississippi	Agent	Approved	01/25/2022
B	Missouri	Agent	Approved	02/11/2026
B	Nebraska	Agent	Approved	01/13/2014
B	Nevada	Agent	Approved	10/30/2024
B	New Hampshire	Agent	Approved	10/23/2019
B	New Jersey	Agent	Approved	10/28/2005
IA	New Jersey	Investment Adviser Representative	Approved	10/28/2005
B	New Mexico	Agent	Approved	03/05/2026
B	New York	Agent	Approved	10/28/2005
B	North Carolina	Agent	Approved	01/15/2015
B	Ohio	Agent	Approved	02/18/2015

Qualifications

	Regulator	Registration	Status	Date
B	Oregon	Agent	Approved	08/06/2021
B	Pennsylvania	Agent	Approved	10/28/2005
B	Rhode Island	Agent	Approved	01/10/2014
B	South Carolina	Agent	Approved	01/10/2014
B	Tennessee	Agent	Approved	10/11/2022
B	Texas	Agent	Approved	01/15/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	03/30/2017
B	Utah	Agent	Approved	02/11/2026
B	Vermont	Agent	Approved	02/12/2026
B	Virginia	Agent	Approved	10/28/2005
B	Washington	Agent	Approved	03/25/2016
B	West Virginia	Agent	Approved	02/28/2018
B	Wisconsin	Agent	Approved	02/12/2026
B	Wyoming	Agent	Approved	02/11/2026

Branch Office Locations

RBC CAPITAL MARKETS, LLC
3000 ATRIUM WAY
SUITE 500
MOUNT LAUREL, NJ 08054-3914

RBC CAPITAL MARKETS, LLC
BRIDGETON, NJ

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/08/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/25/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/18/1994

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	01/01/2004 - 11/02/2005	PNC INVESTMENTS	CRD# 129052	PITTSBURGH, PA
IA	01/01/2004 - 11/02/2005	PNC INVESTMENTS	CRD# 129052	CHERRY HILL, NJ
IA	10/18/2002 - 01/01/2004	HILLIARD LYONS ASSET MANAGEMENT	CRD# 453	CHERRY HILL, NJ
B	03/02/2001 - 01/01/2004	J.J.B. HILLIARD, W.L. LYONS, INC.	CRD# 453	LOUISVILLE, KY
B	02/26/1996 - 03/28/2001	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	03/09/1994 - 03/07/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, 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
03/2008 - Present	RBC Capital Markets, LLC	Registered Representative	Y	Mount Laurel, NJ, 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
Customer Dispute	2

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:	RBC Capital Markets, LLC
Allegations:	Clients' son believes that a fixed annuity his parents purchased in 2014 is a variable annuity that does not generate guaranteed income. He asks for the annuity premium to be withdrawn without paying a penalty. Time frame is 5/21/2014 to 4/5/2017.
Product Type:	Annuity-Fixed
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	No damage amount is alleged. However, the firm believes that a damage claim could 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:	04/13/2017
Complaint Pending?	No
Status:	Denied
Status Date:	08/03/2017

Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	This complaint was received from my client's son who misunderstood the material facts of his parent's fixed annuity. His belief that the annuity was a variable annuity that did not generate guaranteed income was incorrect and his complaint was inaccurate and without merit.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RBC CAPITAL MARKETS, LLC
Allegations:	CLIENT CLAIMS THAT HIS FINANCIAL ADVISOR DID NOT FULLY ADVISE HIM OF THE TERMS OF AN ANNUITY PURCHASED 10 YEARS PREVIOUSLY. TIME FRAME IS 8/2005 TO 2/2015.
Product Type:	Annuity-Variable
Alleged Damages:	$173,071.98
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:	04/28/2015
Complaint Pending?	No
Status:	Settled
Status Date:	10/05/2015
Settlement Amount:	$45,843.73
Individual Contribution Amount:	$22,921.86
Broker Statement	This matter involves an unusual contractual provision included in the original annuity contract which was reviewed by the client when purchased ten years earlier at another firm. The financial advisor discovered the negative financial impact of this provision and immediately informed the client. The settlement resolved an unexpected problem for a longtime client without any finding of negligence or wrongdoing by the advisor.

End of Report

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