



IAPD Report

STEPHEN GREGORY MAREK

CRD# 2458841

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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

STEPHEN GREGORY MAREK (CRD# 2458841)

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 **08/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CEROS FINANCIAL SERVICES, INC.	CRD# 37869	02/25/2025
IA	ATCAP PARTNERS, LLC	CRD# 158214	03/12/2025

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **31** 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	JOSEPH GUNNAR & CO., LLC	24795	COMMACK, NY	06/14/2016 - 02/26/2025
B	JOSEPH GUNNAR & CO. LLC	24795	UNIONDALE, NY	01/02/2009 - 02/26/2025
IA	JOSEPH GUNNAR & CO., LLC	24795	COMMACK, NY	01/06/2009 - 06/19/2015

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
Financial	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 **31** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CEROS FINANCIAL SERVICES, INC.**

Main Address: 1445 RESEARCH BOULEVARD
SUITE 530
ROCKVILLE, MD 20850

Firm ID#: 37869

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	02/25/2025
B	FINRA	General Securities Representative	Approved	02/25/2025
B	FINRA	Registered Options Principal	Approved	02/25/2025
B	Nasdaq Stock Market	General Securities Principal	Approved	02/25/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	02/25/2025
B	Nasdaq Stock Market	Registered Options Principal	Approved	02/25/2025
B	Arizona	Agent	Approved	03/03/2025
B	California	Agent	Approved	03/07/2025
B	Colorado	Agent	Approved	04/17/2025
B	Connecticut	Agent	Approved	02/26/2025
B	District of Columbia	Agent	Approved	03/05/2025
B	Florida	Agent	Approved	03/03/2025
B	Georgia	Agent	Approved	03/31/2025



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	02/27/2025
B Illinois	Agent	Approved	05/23/2025
B Indiana	Agent	Approved	03/06/2025
B Iowa	Agent	Approved	03/03/2025
B Louisiana	Agent	Approved	03/03/2025
B Maine	Agent	Approved	03/03/2025
B Maryland	Agent	Approved	03/06/2025
B Michigan	Agent	Approved	03/03/2025
B Minnesota	Agent	Approved	03/03/2025
B Nevada	Agent	Approved	03/04/2025
B New Hampshire	Agent	Approved	03/05/2025
B New Jersey	Agent	Approved	02/25/2025
B New York	Agent	Approved	03/02/2025
B North Carolina	Agent	Approved	03/05/2025
B Ohio	Agent	Approved	03/10/2025
B Oklahoma	Agent	Approved	03/03/2025
B Oregon	Agent	Approved	03/03/2025
B Pennsylvania	Agent	Approved	03/03/2025
B South Carolina	Agent	Approved	03/04/2025



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	02/26/2025
B Virginia	Agent	Approved	03/10/2025
B Washington	Agent	Approved	03/03/2025
B Wisconsin	Agent	Approved	02/27/2025
B Wyoming	Agent	Approved	02/28/2025

Branch Office Locations

ATLANTIC PARTNERS

One Seaport Plaza
199 Water Street, 21st Floor
New York, NY 10038

Employment 2 of 2

Firm Name: **ATCAP PARTNERS, LLC**
Main Address: 1445 RESEARCH BOULEVARD
#530
ROCKVILLE, MD 20850
Firm ID#: 158214

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	03/12/2025

Branch Office Locations

ATCAP PARTNERS, LLC

80 Broad Street
29th Floor
New York, NY 10004





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



Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	09/11/2006
 General Securities Principal Examination (S24)	Series 24	03/09/1998

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/26/1994

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/02/2021
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/10/1994

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	06/14/2016 - 02/26/2025	JOSEPH GUNNAR & CO., LLC	CRD# 24795	COMMACK, NY
B	01/02/2009 - 02/26/2025	JOSEPH GUNNAR & CO. LLC	CRD# 24795	UNIONDALE, NY
IA	01/06/2009 - 06/19/2015	JOSEPH GUNNAR & CO., LLC	CRD# 24795	COMMACK, NY
B	07/05/2002 - 01/28/2009	AMERICAN CAPITAL PARTNERS, LLC	CRD# 119249	MEDFORD, NY
B	04/17/2001 - 08/01/2002	MILESTONE FINANCIAL SERVICES, INC.	CRD# 43295	BOHEMIA, NY
B	08/27/1998 - 04/23/2001	JOSEPH GUNNAR & CO. LLC	CRD# 24795	UNIONDALE, NY
B	02/28/1994 - 08/28/1998	FIRST ASSET MANAGEMENT, INC.	CRD# 17341	GARDEN CITY, 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
03/2025 - Present	Atcap Partners	INVESTMENT ADVISORY AGENT	Y	Rockville, MD, United States
02/2025 - Present	Ceros Financial Services	Registered Representative	Y	Rockville, MD, United States
06/2016 - 02/2025	JOSEPH GUNNAR & CO. LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	NEW YORK, NY, United States
01/2009 - 02/2025	JOSEPH GUNNAR & CO, LLC	BRANCH MANAGER/REGISTE RED REPRESENTATIVE	Y	NEW YORK, NY, 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.

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	3
Financial	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 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: JOSEPH GUNNAR & CO. LLC

Allegations: A longstanding client sent a few messages to the subject broker between 11/18 and 11/19, using expletives to complain about the performance of an IPO for Damon Inc. Common Stock (DMN) and its initial pricing and subsequent decline. The broker responded with a rationale for the valuation and subsequent trading, and the client verbally told the broker he would not pursue the matter further or invest in another IPO in the short run but otherwise continues to do business.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$40,000.00

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: 11/18/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/11/2024

**Settlement Amount:****Individual Contribution Amount:****Disclosure 2 of 3**

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: AMERICAN CAPITAL PARTNERS, LLC

Allegations: UNSUITABILITY; FRAUD; CHURNING; NEGLIGENCE; BREACH OF FIDUCIARY DUTY

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$195,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #10-02298](#)

Date Notice/Process Served: 05/13/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/12/2011

Disposition Detail: ON OR ABOUT SEPTEMBER 12, 2011, CLAIMANTS NOTIFIED FINRA DISPUTE RESOLUTION THAT THE PARTIES HAD SETTLED THE MATTER.

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: AMERICAN CAPITAL PARTNERS, LLC

Allegations: CLIENT ALLEGES UNSUITABILITY, FRAUD, CHURNING, NEGLIGENCE AND BREACH OF FIDUCIARY.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$195,000.00

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: 07/16/2009

Complaint Pending? No

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

Status Date: 06/14/2010



Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 1002298

Date Notice/Process Served: 06/14/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/14/2011

Monetary Compensation Amount: \$55,000.00

Individual Contribution Amount: \$36,000.00

Firm Statement ARBITRATION RECEIVED ALLEGING UNSUITABILITY, FRAUD, CHURNING, NEGLIGENCE AND BREACH OF FIDUCIARY DUTY. SETTLED TO AVOID FURTHER COSTS OF LITIGATION.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN CAPITAL PARTNERS, LLC

Allegations: CLIENT ALLEGES UNSUITABILITY, FRAUD, CHURNING, NEGLIGENCE, AND BREACH OF FIDUCIARY ROLE.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$110,000.00

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: 08/14/2009

Complaint Pending? No

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

Status Date: 06/22/2010

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



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

Docket/Case #: 1002298

Date Notice/Process Served: 06/22/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/14/2011

Monetary Compensation Amount: \$55,000.00

Individual Contribution Amount: \$36,000.00

Broker Statement

AFTER REVIEWING THE WRITTEN COMPLAINT BY [CUSTOMERS] I HAVE COME TO THE CONCLUSION THAT ALL ALLEGATIONS ARE WITHOUT MERIT. THE [CUSTOMERS] SIGNED OFF ON THEIR SUITABILITY AND SIGNED ALL APPROPRIATE ACCOUNT DOCUMENTATION. THEY WERE EACH CONSTANTLY GIVEN ACCOUNT VALUES, UPDATES AND FULL EXPLANATIONS OF ALL INVESTMENT STRATEGIES. THEY HAD ON-LINE ACCESS TO THEIR ACCOUNT OF WHICH THEY ACCESSED REGULARLY. I BELIEVE THIS IS AN ATTEMPT TO RECOUP INVESTMENT LOSSES FROM ONE OF THE WORST MARKET DOWNTURNS IN HISTORY. STEPHEN MAREK

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LEW LIEBERBAUM

Allegations: UNSUITABLE SECURITIES \$90,000

Product Type: Equity - OTC

Alleged Damages: \$90,000.00

Customer Complaint Information

Date Complaint Received: 03/03/1999

Complaint Pending? No

Status: Settled

Status Date: 06/07/1999

Settlement Amount: \$60,000.00

Individual Contribution Amount: \$15,000.00

Broker Statement

SETTLED FOR \$15,000
I SETTLED THIS CASE FOR NUSANCE VALUE ONLY. I DO NOT ADMIT ANY WRONG DOING. THIS CASE IS BOTH FRIVOLOUS AND WITHOUT MERIT.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source: Individual

Action Type: Compromise

Action Date: 09/04/2018

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 09/04/2018

If a compromise with creditor, provide:

Name of Creditor: OCWEN LOAN SERVICING, LLC.

Original Amount Owed: \$405,000.00

Terms Reached with Creditor: FULL PAYMENT OF THE DISCOUNTED PAYOFF AMOUNT OF \$340,062.44 BY 9/4/2018.



End of Report

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