



IAPD Report

MARC ANDREW SIMMONS

CRD# 2504488

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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 ANDREW SIMMONS (CRD# 2504488)

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 **07/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SIMCO FINANCIAL	CRD# 336660	07/30/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	INVEST FINANCIAL CORPORATION	12984	CANANDAIGUA, NY	06/23/2011 - 12/21/2012
B	ENSEMBLE FINANCIAL SERVICES, INC.	17443	CANANDAIGUA, NY	01/29/2009 - 06/23/2011
B	PREFERRED HOLDING CORPORARTION	45518	ROCHESTER, NY	03/07/2006 - 12/10/2008

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
Criminal	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SIMCO FINANCIAL**
Main Address: 2531 ROCHESTER ROAD
CANANDAIGUA, NY 14424
Firm ID#: 336660

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	07/30/2025

Branch Office Locations

SIMCO FINANCIAL
2531 ROCHESTER ROAD
CANANDAIGUA, NY 14424



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 1 principal/supervisory exam, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	01/31/2002

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7)	Series 7	02/20/1998

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	04/19/2025
Uniform Securities Agent State Law Examination (S63)	Series 63	03/10/1998

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
B	06/23/2011 - 12/21/2012	INVEST FINANCIAL CORPORATION	CRD# 12984	CANANDAIGUA, NY
B	01/29/2009 - 06/23/2011	ENSEMBLE FINANCIAL SERVICES, INC.	CRD# 17443	CANANDAIGUA, NY
B	03/07/2006 - 12/10/2008	PREFERRED HOLDING CORPORARTION	CRD# 45518	ROCHESTER, NY
B	02/16/2005 - 12/06/2005	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
IA	10/09/2003 - 01/27/2005	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	NORWALK , CT
B	11/22/2002 - 01/27/2005	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
IA	10/12/2001 - 10/18/2002	AXA ADVISORS, LLC	CRD# 6627	STAMFORD, CT
B	10/04/2001 - 10/18/2002	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	03/19/2001 - 09/18/2001	HSBC BROKERAGE (USA) INC.	CRD# 6956	NEW YORK, NY
B	01/22/2001 - 02/16/2001	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	07/23/1998 - 09/15/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	03/04/1998 - 07/08/1998	AUERBACH, POLLAK & RICHARDSON INC.	CRD# 29824	STAMFORD, CT

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
07/2025 - Present	SIMCO FINANCIAL	Managing Member, Chief Compliance Officer and Financial Advisor	Y	Canandaigua, NY, United States
06/2011 - Present	INVEST FINANCIAL CORP	REGISTERED REP	Y	CANANDAIGUA, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2005 - Present	SIMCO CAPITAL	CEO	Y	ROCHESTER, NY, 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.

SIMCO CAPITAL LTD/INVESTMENT RELATED/2531 RT 332, CANANDAIGUA, NY 14424/MEDICAL, LIFE, DISABILITY, PROPERTY & CASUALTY, AND FIXED INSURANCE/40 HRS PER MO, 40 HRS DURING TRADING. 2) 2531 ROUTE 332 LLC, NOT INVESTMENT RELATED, 2531 RT 332 CANANDAIGUA NY 14424, COMMERCIAL REAL ESTATE, OWNER, START DATE 8/1/2010, OWNER, 2 HPM, 0 HRS TRADING. 3) 61 CANANDAIGUA ROAD LLC, NOT INVESTMENT RELATED, 61 SOUTH MAIN ST CANANDAIGUA NY 14424, COMMERCIAL REAL ESTATE, OWNER, START DATE 6/1/2012, THIS IS THE BUILDING SIMCO GALLERIA IS HOUSED, 2 HPM, 0 HRS TRADING. 4) SIMCO GALLERIA LLC, NOT INVESTMENT RELATED, 61 SOUTH MAIN ST CANANDAIGUA NY 14424, ANTIQUES SALES, OWNER, START DATE 6/1/2012, OWNER OF ANTIQUE GALLERIA - I DON'T HANDLE DAY TO DAY. 5) CAFE 61 LLC, NOT INVESTMENT RELATED, 61 SOUTH MAIN ST CANANDAIGUA NY 14424, WINE BAR, OWNER, START DATE 6/1/2012, OWNER, 2 HPM, 0 HRS TRADING.



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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	
Formal Charges were brought in:	State Court
Name of Court:	COUNTY OF ONTARIO, NEW YORK
Location of Court:	ONTARIO, NEW YORK
Docket/Case #:	12-DI-112
Charge Date:	03/25/2012
Charge(s) 1 of 1	
Formal Charge(s)/Description:	DRIVING UNDER THE INFLUENCE.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	CONSENT TO THE CHARGE
Disposition of charge:	WAIVER OF INDICTMENT
Current Status:	Pending
Status Date:	



End of Report

This page is intentionally left blank.