



IAPD Report

MARION J. TUCKER

CRD# 3257887

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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

MARION J. TUCKER (CRD# 3257887)

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 **11/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	03/22/2021
IA	STRATEGIC ADVISERS LLC	CRD# 104555	03/31/2025

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **21** 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	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	DUNWOODY, GA	03/31/2021 - 03/31/2025
IA	EQUITABLE ADVISORS, LLC	6627	ATLANTA, GA	08/17/2020 - 03/15/2021
B	EQUITABLE ADVISORS, LLC	6627	ATLANTA, GA	08/14/2020 - 03/15/2021

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

Employment 1 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**
Main Address: 900 SALEM STREET
SMITHFIELD, RI 02917
Firm ID#: 7784

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/22/2021
B	New York Stock Exchange	General Securities Representative	Approved	03/22/2021
B	Alabama	Agent	Approved	03/23/2021
B	Arizona	Agent	Approved	06/09/2025
B	California	Agent	Approved	07/12/2021
B	Florida	Agent	Approved	03/23/2021
B	Georgia	Agent	Approved	03/23/2021
B	Illinois	Agent	Approved	04/08/2021
B	Indiana	Agent	Approved	03/25/2021
B	Maine	Agent	Approved	10/24/2025
B	Michigan	Agent	Approved	11/15/2023
B	Nevada	Agent	Approved	12/13/2021
B	New Jersey	Agent	Approved	07/12/2021



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	03/23/2021
B Ohio	Agent	Approved	06/13/2023
B Pennsylvania	Agent	Approved	10/27/2025
B South Carolina	Agent	Approved	03/25/2021
B South Dakota	Agent	Approved	10/27/2025
B Tennessee	Agent	Approved	03/23/2021
B Texas	Agent	Approved	03/04/2024
B Virginia	Agent	Approved	11/24/2025
B Washington	Agent	Approved	10/02/2023
B Wisconsin	Agent	Approved	05/10/2022

Branch Office Locations

FIDELITY BROKERAGE SERVICES, LLC
 127 PERIMETER CENTER WEST
 DUNWOODY, GA 30346-1223

FIDELITY BROKERAGE SERVICES, LLC
 DULUTH, GA

Employment 2 of 2

Firm Name: **STRATEGIC ADVISERS LLC**
 Main Address: 155 SEAPORT BLVD
 BOSTON, MA 02210-2698
 Firm ID#: 104555

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	03/31/2025
IA Texas	Investment Adviser Representative	Restricted Approval	03/31/2025



Qualifications

Branch Office Locations

STRATEGIC ADVISERS LLC
DULUTH, GA

STRATEGIC ADVISERS LLC
127 PERIMETER CENTER WEST
DUNWOODY, GA 30346-1223



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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B Futures Managed Funds Examination (S31)	Series 31	08/26/1999
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B General Securities Representative Examination (S7)	Series 7	08/12/1999
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	08/25/1999
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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	03/31/2021 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	DUNWOODY, GA
IA	08/17/2020 - 03/15/2021	EQUITABLE ADVISORS, LLC	CRD# 6627	ATLANTA, GA
B	08/14/2020 - 03/15/2021	EQUITABLE ADVISORS, LLC	CRD# 6627	ATLANTA, GA
IA	01/16/2018 - 07/09/2020	FIFTH THIRD SECURITIES, INC.	CRD# 628	HARVEY, IL
B	01/12/2018 - 07/09/2020	FIFTH THIRD SECURITIES, INC.	CRD# 628	HARVEY, IL
IA	01/02/2015 - 02/01/2018	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	MUNSTER, IN
B	12/29/2014 - 02/01/2018	CETERA INVESTMENT SERVICES LLC	CRD# 15340	MUNSTER, IN
IA	09/29/2005 - 12/31/2012	INVESTORS CAPITAL ADVISORY	CRD# 30613	MATTESON, IL
B	09/22/2005 - 12/31/2012	INVESTORS CAPITAL CORP.	CRD# 30613	MATTESON, IL
IA	03/07/2000 - 08/29/2005	MORGAN STANLEY	CRD# 7556	ORLAND PARK, IL
B	08/12/1999 - 08/29/2005	MORGAN STANLEY DW 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
03/2025 - Present	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
03/2021 - Present	FIDELITY INVESTMENTS	FINANCIAL REPRESENTATIVE	Y	DUNWOODY, GA, United States
08/2020 - 03/2021	EQUITABLE ADVISORS LLC	Registered Representative	Y	NEW YORK, NY, United States
01/2018 - 07/2020	FIFTH THIRD BANK	INVESTMENT EXECUTIVE	Y	ORLAND PARK, IL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2018 - 07/2020	FIFTH THIRD SECURITIES	REGISTERED REPRESENTATIVE	Y	ORLAND PARK, IL, United States
12/2014 - 02/2018	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	FLOSSMOOR, IL, United States
12/2014 - 02/2018	CETERA INVESTMENT SERVICES LLC	REGISTERED REP	Y	ST CLOUD, MN, United States
12/2014 - 02/2018	FIRST MERCHANTS TRUST CO NA	REGISTERED REPRESENTATIVE	Y	FLOSSMOOR, IL, 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.

Liberty International Network...apostle...consults on spiritual matters...not investment related



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
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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Fifth Third Securities, Inc.
Allegations:	Customer was not satisfied with how her investment advisory account was being managed due to perceived market loss.
Product Type:	Other: Investment Advisory Account
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Customer alleged market loss of the above amount.
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:	12/17/2019
Complaint Pending?	No
Status:	Denied
Status Date:	01/16/2020



Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement

Representative Comment: I was deeply disappointed recently in December 2019, when a client sent an email with account allegations that had to be reported on my U4 in compliance with FINRA rules. My Broker-Dealer investigated and found no basis to the allegations. The customer subsequently remembered that the \$100k was withdrawn for another investment. As a result, and in my defense, the allegations were denied as indicated. However, the 20-year stellar record that I had achieved now bears this blemish.



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: Bankruptcy
Bankruptcy: Chapter 7
Action Date: 12/02/2016

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: US BANKRUPTCY COURT
Location of Court: NORTHERN DISTRICT OF ILLINOIS
Docket/Case #: 16-38196
Action Pending? No
Disposition: Discharged
Disposition Date: 12/13/2017
Amount Paid: \$1,850.00
SIPA (Securities Investor Protection Act)Trustee: ALLAN J. DEMARS
Currently Open? No
Date Direct Payment Initiated/Filed or Trustee Appointed: 01/01/2017

Broker Statement

I AM DISAPPOINTED THAT MY EFFORTS TO SETTLE THIS REAL ESTATE MATTER, WHICH INCLUDED A POTENTIAL SHORT SALE OF THE PROPERTT, WAS NOT ACCEPTED BY THE FINANCIAL INSTITUTION. AS A RESULT OF HTE AGRESSIVE COLLECTION EFFORTS OF HTE CREDITOR AND UNWILLINGNESS TO REACH A SETTLEMENT, I WAS FORCED TO FILE CHAPTER 13 PROTECTION, UNDER LEGAL ADVICE OF MY ATTORNEYS. THAT MATTER INVOLVED RENTAL PROPERTY I OWNED THAT WAS UNDER WATER AND UNOCCUPIED.
7/24/17 - DISCLOSURE WAS AMENDED AS THE CHARPTER 13 WAS CONVERTED TO A CHARPTER 7 BANKRUPTCY PER THE CLIENT AND ATTORNEY.



End of Report

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