IAPD Report

MARC CHARLES HARARY

CRD# 4430199

Section Title | **Page(s)**

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

MARC CHARLES HARARY (CRD# 4430199)

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 **07/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/05/2016
IA	IHT WEALTH MANAGEMENT LLC	CRD# 171481	02/23/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	PRIVATE ADVISOR GROUP, LLC	155216	New York, NY	05/12/2016 - 10/14/2020
IA	AMERITAS INVESTMENT CORP	14869	NEW YORK, NY	03/11/2011 - 05/24/2016
B	AMERITAS INVESTMENT CORP.	14869	NEW YORK, NY	03/07/2011 - 05/24/2016

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
Termination	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 **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **IHT WEALTH MANAGEMENT LLC**

Main Address: 123 N. WACKER DR.
SUITE 2300
CHICAGO, IL 60606

Firm ID#: 171481

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	07/02/2024
IA	New York	Investment Adviser Representative	Approved	02/23/2021

Branch Office Locations

IHT WEALTH MANAGEMENT LLC
331 Newman Springs Road, Suite 132,
Red Bank, NJ 07701

Employment 2 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/05/2016
B	Arizona	Agent	Approved	05/05/2016
B	California	Agent	Approved	03/22/2017
B	Connecticut	Agent	Approved	05/05/2016
B	Florida	Agent	Approved	11/13/2020

Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	05/20/2024
B	New Jersey	Agent	Approved	05/05/2016
B	New York	Agent	Approved	05/05/2016
B	North Carolina	Agent	Approved	05/05/2016

Branch Office Locations

LPL FINANCIAL LLC
331 NEWMAN SPRINGS RD STE 132
RED BANK, NJ 07701

LPL FINANCIAL LLC
SCARSDALE, NY

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 1 state securities law exam.

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	08/16/2001

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/26/2002

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
IA	05/12/2016 - 10/14/2020	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	New York, NY
IA	03/11/2011 - 05/24/2016	AMERITAS INVESTMENT CORP	CRD# 14869	NEW YORK, NY
B	03/07/2011 - 05/24/2016	AMERITAS INVESTMENT CORP.	CRD# 14869	NEW YORK, NY
IA	08/25/2004 - 02/11/2011	METLIFE SECURITIES INC.	CRD# 14251	NEW YORK, NY
B	12/10/2002 - 02/11/2011	METLIFE SECURITIES INC.	CRD# 14251	NEW YORK, NY
B	12/10/2002 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
IA	07/03/2002 - 10/24/2002	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	03/01/2002 - 10/24/2002	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	08/17/2001 - 02/04/2002	HSBC BROKERAGE (USA) INC.	CRD# 6956	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
10/2020 - Present	IHT WEALTH MANAGEMENT	INVESTMENT ADVISER REPRESENTATIVE	Y	Chicago, IL, United States
04/2016 - Present	LPL Financial LLC	Registered Representative	Y	New York, NY, United States
10/2013 - Present	HARARY FINANCIAL GROUP	WEBSITE OWNER	Y	NEW YORK, NY, United States
05/2016 - 10/2020	Private Advisor Group, LLC	Investment Advisor Representative	Y	New York, NY, United States
10/2013 - 10/2020	PRB WEALTH MANAGEMENT	FINANCIAL SERVICES 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.

1. 5/5/2016 - Harary Financial Group - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Owner - Time Spent 50%.
2. 5/5/2016 - PRB Wealth Management - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 5/5/16 - 40 Hours Per Month - Time Spent 30%.
3. 5/5/2016 - PRB Wealth Management - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Agent - - Time Spent 70% - Life, disability, long term care.
4. 9/8/2020 - IHT Wealth Management - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Started 09/01/2020 - 40 Hours Per Month During Securities Trading - I provide investment advisory services through IHT Wealth Management, an independent investment advisor firm. I started this business activity in 09/2020. I expect to spend approximately 40 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at http://www.adviserinfo.sec.gov/IAPD. The firm is separate from and independent of LPL Financial.

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
Termination	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:	Ameritas Investment Corp.
Allegations:	Claimant alleged unsuitable trading, fraud, misrepresentation, conversion, negligence, breach of fiduciary duty, and breach of contract.
Product Type:	Equity-OTC Mutual Fund
Alleged Damages:	$500,000.00
Alleged Damages Amount Explanation (if amount not exact):	Additional damages to be determined at arbitration.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	16-011252
Date Notice/Process Served:	05/20/2016
Arbitration Pending?	No
Disposition:	Withdrawn
Disposition Date:	06/13/2016

Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERITAS INVESTMENT CORP.
Allegations:	CLAIMANT ALLEGED UNSUITABLE TRADING, FRAUD, MISREPRESENTATION, CONVERSION, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, AND BREACH OF CONTRACT. ACTIVITY PERIOD IS 1/1/16 TO APRIL 27, 2016.
Product Type:	Equity-OTC Mutual Fund
Alleged Damages:	$500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	16-011252
Date Notice/Process Served:	05/20/2016
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/06/2016
Monetary Compensation Amount:	$5,000.00
Individual Contribution Amount:	$5,000.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	SUPREME COURT OF THE STATE OF NEW YORK
Location of Court:	COUNTY OF KINGS, NY
Docket/Case #:	507008/2016
Date Notice/Process Served:	05/05/2016
Litigation Pending?	No
Disposition:	Other: EVOLVED INTO ARBITRATION
Disposition Date:	05/20/2016
Broker Statement	THESE CLAIMS WERE DISMISSED WITHIN A MONTH OF FILING. THE ADVISOR LATER AGREED TO A NUISANCE VALUE PAYMENT IN THE NOMINAL AMOUNT OF $5,000 IN AVOIDANCE OF DEFENSE COSTS AND IN ORDER TO END A FAMILY DISPUTE. THE ADVISOR DENIES ALL ALLEGATIONS ON THE MERITS.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	METLIFE SECURITIES
Termination Type:	Voluntary Resignation
Termination Date:	01/21/2011
Allegations:	SIGNATURE IRREGULARITIES WERE IDENTIFIED BY THE FIRM
Product Type:	Insurance

Reporting Source:	Individual
Firm Name:	METLIFE SECURITIES
Termination Type:	Voluntary Resignation
Termination Date:	01/21/2011
Allegations:	SIGNATURE IRREGULARITIES WERE IDENTIFIED BY THE FIRM
Product Type:	Insurance
Broker Statement	My broker/dealer alleged signature irregularities on a client's life insurance policy delivery receipt and opened an internal review of my business. It was determined there was no evidence of any irregularity, and thereafter closed its internal review with no further action.

End of Report

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