



## IAPD Report

# CHARLES FREDERICK MARQUES

CRD# 4711890

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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

### CHARLES FREDERICK MARQUES (CRD# 4711890)

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 **01/06/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AEGIS CAPITAL CORP.	CRD# 15007	11/08/2024

### 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
IA	LPL FINANCIAL LLC	6413	WESTON, FL	07/06/2016 - 10/08/2024
B	LPL FINANCIAL LLC	6413	WESTON, FL	07/01/2016 - 10/08/2024
IA	INVEST FINANCIAL CORPORATION	12984	STUART, FL	10/14/2014 - 07/06/2016

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	8
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**  
Main Address: 1345 AVENUE OF THE AMERICAS  
27TH FLOOR  
NEW YORK, NY 10105  
Firm ID#: 15007

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	11/08/2024

### Branch Office Locations

**AEGIS CAPITAL CORP.**  
Davie, FL



## 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
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	06/17/2013

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	10/08/2014



### 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	07/06/2016 - 10/08/2024	LPL FINANCIAL LLC	CRD# 6413	WESTON, FL
B	07/01/2016 - 10/08/2024	LPL FINANCIAL LLC	CRD# 6413	WESTON, FL
IA	10/14/2014 - 07/06/2016	INVEST FINANCIAL CORPORATION	CRD# 12984	STUART, FL
B	05/08/2014 - 07/06/2016	INVEST FINANCIAL CORPORATION	CRD# 12984	STUART, FL
B	07/24/2013 - 05/05/2014	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	PALM BEACH GARDEN, FL
B	06/17/2013 - 07/26/2013	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	MIRAMAR, FL
IA	03/08/2007 - 12/20/2007	IFMG SECURITIES, INC.	CRD# 14416	DEERFIELD BEACH, FL
B	04/03/2006 - 12/20/2007	IFMG SECURITIES, INC.	CRD# 14416	DEERFIELD BEACH, FL
B	08/11/2005 - 10/11/2005	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
IA	12/09/2003 - 06/14/2005	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	CRD# 6363	PLANTATION, FL
B	11/19/2003 - 06/14/2005	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	11/19/2003 - 06/14/2005	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

### 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
09/2024 - Present	Aegis Capital Corp.	Registered Representative, Investment Advisor Representative	Y	Davie, FL, United States
07/2016 - 09/2024	LPL Financial LLC	Registered Representative	Y	Jupiter, FL, United States



## Registration & Employment History



### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2014 - 07/2016	INVEST FINANCIAL CORPORATION	REGISTERED REP	Y	Tampa, FL, United States
04/2014 - 07/2016	SEACOAST NATIONAL BANK	Bank Employee	Y	STUART, FL, 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.

1) ACC AGENCY, INC., 1305 WALT WHITMAN RD. STE 120, MELVILLE, NY 11747; INVESTMENT-RELATED; PRODUCER/AGENT, GENERAL INSURANCE AGENCY; START DATE: 04/03/2025; 5-10 HOURS PER MONTH DEVOTED TO ACTIVITY; 5-10 HOURS PER MONTH DURING SECURITIES TRADING HOURS.



## 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	8
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 8

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	LPL Financial LLC
<b>Allegations:</b>	Customer alleges Rep promised 11% return on a 7-yr market-linked CD that returned less than stated interest at maturity on 10/31/2025.
<b>Product Type:</b>	CD
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	over \$5,000
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	11/14/2025
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	12/12/2025

**Settlement Amount:****Individual Contribution Amount:****Firm Statement**Allegations determined to be unsubstantiated and denied.  
.....**Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

LPL FINANCIAL LLC

**Allegations:**

Customer alleges Rep promised 11% return on a 7-yr market-linked CD that returned less than stated interest at maturity on 10/31/2025.

**Product Type:**

CD

**Alleged Damages:**

\$0.00

**Alleged Damages Amount Explanation (if amount not exact):**

Over \$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:**

11/14/2025

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

12/12/2025

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

Allegations determined to be unsubstantiated and denied.

**Disclosure 2 of 8****Reporting Source:**

Firm

**Employing firm when activities occurred which led to the complaint:**

LPL Financial LLC

**Allegations:**

Customer alleges Rep promised 11% return on a 7-yr market-linked CD that matured 7/31/25 returning less than stated interest.

**Product Type:**

CD

**Alleged Damages:**

\$0.00



**Alleged Damages Amount** over \$5,000  
**Explanation (if amount not exact):**

**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:** 11/13/2025

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 12/12/2025

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Firm Statement** Allegations determined to be unsubstantiated and denied.

.....

**Reporting Source:** Individual

**Employing firm when  
activities occurred which led  
to the complaint:** LPL FINANCIAL LLC

**Allegations:** Customer alleges Rep promised 11% return on a 7-yr market-linked CD that matured 7/31/25 returning less than stated interest.

**Product Type:** CD

**Alleged Damages:** \$0.00

**Alleged Damages Amount** Over \$5,000  
**Explanation (if amount not exact):**

**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:** 11/13/2025

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 12/12/2025

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement** Allegations determined to be unsubstantiated and denied

**Broker Statement**

Allegations determined to be unsubstantiated and denied.

**Disclosure 3 of 8**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** LPL FINANCIAL LLC

**Allegations:** Customer alleges unsuitability and failure to explain investments.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Unspecified but unable to conclude under \$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:** 05/03/2022

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 06/13/2022

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** The complaint was determined to be without merit and denied.

**Disclosure 4 of 8**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** INVEST Financial Corporation

**Allegations:** Clients allege rep encouraged them to invest in products which they felt had a high degree of risk given the client's moderate risk tolerance. Clients now find that they have lost money and requested an explanation.

**Product Type:** Real Estate Security

**Alleged Damages:** \$18,000.00

**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:** 08/22/2016

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/12/2016

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Reporting Source:** Individual

**Employing firm when  
activities occurred which led  
to the complaint:** INVEST FINANCIAL CORPORATION

**Allegations:** CLIENTS ALLEGE REP ENCOURAGED THEM TO INVEST IN PRODUCTS WHICH THEY FELT HAD A HIGH DEGREE OF RISK GIVEN THE CLIENT'S MODERATE RISK TOLERANCE. CLIENTS NOW FIND THAT THEY HAVE LOST MONEY AND REQUESTED AN EXPLANATION.

**Product Type:** Real Estate Security

**Alleged Damages:** \$18,000.00

**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:** 08/22/2016

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/12/2016

**Settlement Amount:**

**Individual Contribution  
Amount:**

### Disclosure 5 of 8

**Reporting Source:** Firm

**Employing firm when  
activities occurred which led  
to the complaint:** INVEST Financial Corporation

**Allegations:** Client alleges misrepresentation and unauthorized trading.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$5,000.00



**Alleged Damages Amount** More than \$5000.00 would be determined at the time of surrender.  
**Explanation (if amount not exact):**

**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:** 08/23/2016

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/27/2016

**Settlement Amount:**

**Individual Contribution Amount:**  
.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** INVEST FINANCIAL CORPORATION

**Allegations:** CLIENT ALLEGES MISREPRESENTATION AND UNAUTHORIZED TRADING.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount** MORE THAN \$5,000 WOULD BE DETERMINED AT THE TIME OF SURRENDER.  
**Explanation (if amount not exact):**

**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:** 08/23/2016

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/27/2016

**Settlement Amount:**

**Individual Contribution Amount:**



**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** INVEST Financial Corporation

**Allegations:** Daughter claims her mother was advised to purchase unsuitable, high risk investments.

**Product Type:** Mutual Fund

**Alleged Damages:** \$13,000.00

**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:** 04/07/2016

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/02/2016

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 7 of 8

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** IFMG SECURITIES, INC.

**Allegations:** THE CUSTOMER ALLEGED THAT THE BENEFITS SHE WAS TO RECEIVE IN CONNECTION WITH HER PURCHASE OF A VARIABLE ANNUITY, AS EXPLAINED TO HER BY THE FA AT THE TIME OF THE PURCHASE, CONFLICTS WITH THE BENEFIT INFORMATION PROVIDED TO HER SUBSEQUENTLY BY THE INSURANCE COMPANY. ALLEGED DAMAGES NOT SPECIFIED, BUT REASONABLY BELIEVED TO BE IN EXCESS OF \$5,000.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$5,000.00

**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:** 12/04/2008

**Complaint Pending?** No

**Status:** Closed/No Action



**Status Date:** 04/22/2013

**Settlement Amount:**

**Individual Contribution Amount:**

#### Disclosure 8 of 8

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** IFMG SECURITIES, INC.

**Allegations:** ON MARCH 10, 2008 CUSTOMER STATES THE SALE WAS NOT SUITABLE. THE CLIENT WAS NOT PROVIDED WITH A PROSPECTUS. THE SALE WAS NOT APPROPRIATE FOR CLIENT GIVEN HIS AGE.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$5,000.00

#### Customer Complaint Information

**Date Complaint Received:** 03/10/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/09/2008

**Settlement Amount:**

**Individual Contribution Amount:**





## 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:** LPL FINANCIAL LLC  
**Termination Type:** Discharged  
**Termination Date:** 10/08/2024  
**Allegations:** Submitted account documents on behalf of foreign customers using another customer's domestic address.  
**Product Type:** No Product

.....

**Reporting Source:** Individual  
**Firm Name:** LPL FINANCIAL LLC  
**Termination Type:** Discharged  
**Termination Date:** 10/08/2024  
**Allegations:** Submitted account documents on behalf of foreign customers using another customer's domestic address.  
**Product Type:** No Product



## End of Report

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