



IAPD Report

ANTHONY JOHN MARSHALL

CRD# 4853760

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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

ANTHONY JOHN MARSHALL (CRD# 4853760)

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 **03/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	03/07/2025
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	03/07/2025

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	TRUIST ADVISORY SERVICES, INC.	283390	PEACHTREE CITY, GA	10/31/2016 - 03/10/2025
B	TRUIST INVESTMENT SERVICES, INC.	17499	PEACHTREE CITY, GA	05/02/2016 - 03/10/2025
IA	SUNTRUST INVESTMENT SERVICES, INC.	17499	PEACHTREE CITY, GA	05/06/2016 - 12/31/2016

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	4
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: **CAMBRIDGE INVESTMENT RESEARCH, INC.**
Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757
Firm ID#: 39543

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	03/07/2025
B FINRA	General Securities Representative	Approved	03/07/2025
B Alabama	Agent	Approved	03/07/2025
B Arizona	Agent	Approved	03/07/2025
B Florida	Agent	Approved	03/07/2025
B Georgia	Agent	Approved	03/12/2025
B North Carolina	Agent	Approved	03/07/2025
B South Carolina	Agent	Approved	03/07/2025
B Tennessee	Agent	Approved	03/14/2025
B Texas	Agent	Approved	03/07/2025

Branch Office Locations

CAMBRIDGE INVESTMENT RESERARCH, INC.
103 Westpark Dr.
Suite B
Peachtree City, GA 30269

Employment 2 of 2



Qualifications

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**
Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757
Firm ID#: 134139

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	03/12/2025
IA Texas	Investment Adviser Representative	Restricted Approval	03/07/2025

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
103 Westpark Dr.
Suite B
Peachtree City, GA 30269



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	03/01/2006

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	09/09/2005
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/04/2004

State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	09/21/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	11/08/2004

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	10/31/2016 - 03/10/2025	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	PEACHTREE CITY, GA
B	05/02/2016 - 03/10/2025	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	PEACHTREE CITY, GA
IA	05/06/2016 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	PEACHTREE CITY, GA
IA	01/26/2011 - 05/09/2016	WELLS FARGO ADVISORS, LLC	CRD# 19616	HAPEVILLE, GA
B	01/24/2011 - 05/09/2016	WELLS FARGO ADVISORS, LLC	CRD# 19616	HAPEVILLE, GA
B	10/23/2009 - 01/31/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PEACHTREE CITY, GA
IA	10/23/2009 - 01/31/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PEACHTREE CITY, GA
IA	09/24/2008 - 10/23/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	MARIETTA, GA
B	09/22/2008 - 10/23/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	MARIETTA, GA
IA	09/26/2005 - 10/01/2008	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	FAYETTEVILLE, GA
B	08/19/2005 - 10/01/2008	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	FAYETTEVILLE, GA
B	01/07/2005 - 07/28/2005	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO

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	Cambridge Investment Research Advisors, Inc.	Investment Advisor Representative	Y	Fairfield, IA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2025 - Present	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
08/2016 - 03/2025	SunTrust Advisory Services	Advisor	Y	Atlanta, GA, United States
04/2016 - 03/2025	SUNTRUST INVESTMENT SERVICES, INC	FINANCIAL ADVISOR	Y	ATLANTA, GA, 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. SENTINEL WEALTH ADVISORS LLC, 103 Westpark Drive Ste B, Peachtree City GA 30269, 03/2025, Owner, Owner/Partner of a Business Entity, INV REL, 160 HR/MO, 132 HR/MO TRADING.
2. CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, AS ADVISORY REP OF AN RIA, INV REL, 160 HR/MO, 120 HR/MO TRADING, 03/2025



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	4
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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	TRUIST INVESTMENT SERVICES, INC.
Allegations:	Client alleges they instructed their advisor to move out of equities in January 2022 but this did not take place until July 2022, client experienced a \$60,000.00 investment loss due to the delay and wants to be compensated.
Product Type:	Other: wrap managed account.
Alleged Damages:	\$60,000.00
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:	02/22/2023
Complaint Pending?	No
Status:	Denied
Status Date:	02/24/2023

Settlement Amount:

Individual Contribution

**Amount:****Broker Statement**

The client provided a written request to withdraw their complaint.

Disclosure 2 of 4**Reporting Source:**

Firm

Employing firm when activities occurred which led to the complaint:

Wells Fargo Advisors, LLC

Allegations:

Claimant alleges that investment recommendations made in 2015 were misrepresented and unsuitable.

Product Type:

Mutual Fund

Alleged Damages:

\$0.00

Alleged Damages Amount Explanation (if amount not exact):

Claimant is seeking to recover compensatory damages in excess of \$50,000.00.

Is this an oral complaint?

No

Is this a written complaint?

No

Is this an arbitration/CFTC reparation or civil litigation?

Yes

Arbitration/Reparation forum or court name and location:

FINRA

Docket/Case #:

16-02768

Filing date of arbitration/CFTC reparation or civil litigation:

09/23/2016

Customer Complaint Information**Date Complaint Received:**

09/23/2016

Complaint Pending?

No

Status:

Settled

Status Date:

09/18/2017

Settlement Amount:

\$14,900.00

Individual Contribution Amount:

\$0.00

Firm Statement

Without admitting any liability, the Firm settled the matter for \$14,900.00 solely to avoid the costs and expenses of continued litigation and end the arbitration. The FA did not contribute to the settlement amount.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

Wells Fargo Advisors, LLC

Allegations:

Claimant alleges the investment recommendations made in 2015 were



misrepresented and unsuitable.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Claimant is seeking to recover compensatory damages in excess of \$50,000.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 16-02768

Filing date of arbitration/CFTC reparation or civil litigation: 09/23/2016

Customer Complaint Information

Date Complaint Received: 09/23/2016

Complaint Pending? No

Status: Settled

Status Date: 09/18/2017

Settlement Amount: \$14,900.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC

Allegations: CLIENT ALLEGED THE RISKS ASSOCIATED WITH THE DISPUTED INVESTMENTS WERE NOT DISCLOSED. (04/24/2013)

Product Type: Other: SELF-DIRECTED FEE BASED ACCOUNTS (NON-MANAGED)

Alleged Damages: \$6,000.00

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: 03/03/2014

Complaint Pending? No



Status: Denied

Status Date: 03/21/2014

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC

Allegations: CLIENT ALLEGES UNAUTHORIZED TRANSACTIONS WERE MADE IN HER ACCOUNT. AMOUNT OF DAMAGES ARE UNSPECIFIED, BUT AFTER GOOD FAITH DETERMINATION, THEY ARE REASONABLY BELIEVED TO BE OVER \$5,000.00. (02/08/2011)

Product Type: Other: SELF DIRECTED FEE ACCOUNTS (NON-MANAGED)

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): AMOUNT OF DAMAGES ARE UNSPECIFIED, BUT AFTER GOOD FAITH DETERMINATION, THEY ARE REASONABLY BELIEVED TO BE OVER \$5,000.00.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC repair or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/22/2012

Complaint Pending? No

Status: Denied

Status Date: 07/10/2012

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: MERRILL LYNCH, PIERCE, FENNER AND SMITH, INC.
Termination Type: Discharged
Termination Date: 01/20/2011
Allegations: CONDUCT INVOLVING INCORRECT INFORMATION ON A PERSONAL MORTGAGE APPLICATION
Product Type: No Product

Reporting Source: Individual
Firm Name: MERRILL LYNCH, PIERCE, FENNER AND SMITH, INC.
Termination Type: Discharged
Termination Date: 01/20/2011
Allegations: CONDUCT INVOLVING INCORRECT INFORMATION ON A PERSONAL MORTGAGE APPLICATION
Product Type: No Product

Broker Statement THIS ALLEGATION IS COMPLETELY FALSE AND WAS GENERATED AFTER I RESIGNED MY POSITION WITH MERRILL LYNCH. THIS MATTER IS COMPLETELY UNRELATED TO CLIENT ACCOUNTS AND/OR ANY SECURITIES TRANSACTIONS.



End of Report

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