



## IAPD Report

# MARC VYTAUTAS MACYS

CRD# 5927778

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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

### MARC VYTAUTAS MACYS (CRD# 5927778)

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 **09/15/2017**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ERNST & YOUNG INVESTMENT ADVISERS LLP	CRD# 110921	08/31/2017

### 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	LINCOLN INVESTMENT	519	ST. PETERSBURG, FL	06/09/2017 - 09/15/2017
IA	LINCOLN INVESTMENT	519	ST. PETERSBURG, FL	06/09/2017 - 09/15/2017
IA	SAGEPOINT FINANCIAL, INC.	133763	CLEARWATER, FL	01/29/2015 - 01/11/2016

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
Regulatory Event	1
Criminal	2



## 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: **ERNST & YOUNG INVESTMENT ADVISERS LLP**  
Main Address: 200 PLAZA DRIVE  
FIRST FLOOR SUITE 102  
SECAUCUS, NJ 07094  
Firm ID#: 110921

Regulator	Registration	Status	Date
<b>IA</b> Florida	Investment Adviser Representative	Approved	08/31/2017

### Branch Office Locations

**ERNST & YOUNG INVESTMENT ADVISERS LLP**  
201 North Franklin Street  
Suite 2400  
Tampa, FL 33602




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




#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	05/23/2015

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	09/15/2017
	General Securities Representative Examination (S7)	Series 7	09/09/2014

#### State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	10/30/2014
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/03/2011

### 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	06/09/2017 - 09/15/2017	LINCOLN INVESTMENT	CRD# 519	ST. PETERSBURG, FL
IA	06/09/2017 - 09/15/2017	LINCOLN INVESTMENT	CRD# 519	ST. PETERSBURG, FL
IA	01/29/2015 - 01/11/2016	SAGEPOINT FINANCIAL, INC.	CRD# 133763	CLEARWATER, FL
B	10/27/2014 - 01/11/2016	SAGEPOINT FINANCIAL, INC.	CRD# 133763	CLEARWATER, FL

### 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
07/2017 - Present	Tapfin/EY	Financial Planner	Y	Tampa, FL, United States
05/2017 - Present	Lincoln Investment LLC	Advisor	Y	St Pete, FL, United States
04/2016 - 05/2017	AF Insurance	Agent	N	Spring Hill, FL, United States
01/2016 - 05/2017	Unemployed	Unemployed	N	Spring Hill, 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.

Lincoln Investment  
675 4th St N  
St Pete FL 33702  
Investment firm  
Financial advisor 05/2017  
8 hours per month, not during trading hours, duties consist of advising clients.



## 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
Regulatory Event	1
Criminal	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	FLORIDA DEPARTMENT OF FINANCIAL SERVICES.
<b>Sanction(s) Sought:</b>	Other: WAITING PERIOD REQUIRED
<b>Date Initiated:</b>	10/07/2010
<b>Docket/Case Number:</b>	113163-10-AG
<b>Employing firm when activity occurred which led to the regulatory action:</b>	NONE
<b>Product Type:</b>	No Product
<b>Allegations:</b>	MATERIAL MISSTATEMENT OF THE QUESTION RELATED TO FELONY CHARGES ON FL STATE INSURANCE LICENSE APPLICATION
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	02/02/2011
<b>Sanctions Ordered:</b>	Denial Other: REQUIRED WAITING PERIOD OF 1 YEAR TO ISSUE STATE LICENSE



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## 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 2

**Reporting Source:** Individual

**Formal Charges were brought in:** State Court

**Name of Court:** PINELLAS COUNTY FLORIDA

**Location of Court:** CLEARWATER, FL USA

**Docket/Case #:** CRC93-18377CFANO-A

**Charge Date:** 11/29/1993

**Charge(s) 1 of 1**

**Formal Charge(s)/Description:** BURGLARY/FLEEING AND ELUDING

**No of Counts:** 1

**Felony or Misdemeanor:** Felony

**Plea for each charge:** NOLO CONTENDRE

**Disposition of charge:** WITHHELD ADJUDICATION

**Current Status:** Final

**Status Date:** 04/25/1994

**Disposition Date:** 04/25/1994

**Sentence/Penalty:** PROBATION 12/30/1993-04/25/1994  
RESTITUTION \$1358, COURT COSTS \$300  
FINES WERE PAID BEFORE PROBATION WAS TERMINATED.

### Disclosure 2 of 2

**Reporting Source:** Individual

**Formal Charges were brought in:** CIRCUIT/COUNTY

**Name of Court:** PINELLAS COUNTY COURT

**Location of Court:** PINELLAS COUNTY, FL

**Docket/Case #:** 902392TMMANO

**Charge Date:** 09/02/1990

**Charge(s) 1 of 1**

**Formal Charge(s)/Description:** UNLAWFULLY TAKE POSSESSION OF THE PROPERTY OF THE VICTIM WITH INTENT TO DEPRIVE.

**No of Counts:** 1

**Felony or Misdemeanor:** Misdemeanor

**Plea for each charge:** GUILTY



<b>Disposition of charge:</b>	Convicted
<b>Current Status:</b>	Final
<b>Status Date:</b>	10/29/1990
<b>Disposition Date:</b>	10/29/1990
<b>Sentence/Penalty:</b>	\$150.00 FINE PAID 10/29/1990
<b>Broker Statement</b>	PENALTY/FINE \$150.00 PAID WITHIN 30 DAYS AS DIRECTED.



## End of Report

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