



IAPD Report

MARK ONEILL

CRD# 871604

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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

MARK ONEILL (CRD# 871604)

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 **05/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	09/06/2016
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	09/06/2016

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **42** 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	DEUTSCHE BANK SECURITIES INC.	2525	PHILADELPHIA, PA	03/02/2007 - 09/06/2016
B	DEUTSCHE BANK SECURITIES INC.	2525	PHILADELPHIA, PA	01/13/2001 - 09/06/2016
B	DB ALEX. BROWN LLC	17790	BALTIMORE, MD	09/01/1997 - 01/13/2001

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



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 **42** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 705

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	09/06/2016
B FINRA	General Securities Representative	Approved	09/06/2016
B Investors' Exchange LLC	General Securities Principal	Approved	10/07/2025
B Investors' Exchange LLC	General Securities Representative	Approved	10/07/2025
B MEMX LLC	General Securities Principal	Approved	10/07/2025
B MEMX LLC	General Securities Representative	Approved	10/07/2025
B NYSE American LLC	General Securities Principal	Approved	09/06/2016
B NYSE American LLC	General Securities Representative	Approved	09/06/2016
B NYSE Arca, Inc.	General Securities Principal	Approved	10/07/2025
B NYSE Arca, Inc.	General Securities Representative	Approved	10/07/2025
B NYSE Texas, Inc.	General Securities Principal	Approved	10/07/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	10/07/2025
B Nasdaq PHLX LLC	General Securities Principal	Approved	09/06/2016



Qualifications

Regulator	Registration	Status	Date
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/06/2016
B Nasdaq Stock Market	General Securities Principal	Approved	09/06/2016
B Nasdaq Stock Market	General Securities Representative	Approved	09/06/2016
B New York Stock Exchange	General Securities Principal	Approved	09/06/2016
B New York Stock Exchange	General Securities Representative	Approved	09/06/2016
B Alabama	Agent	Approved	09/06/2016
B Alaska	Agent	Approved	09/06/2016
B Arizona	Agent	Approved	09/06/2016
B Arkansas	Agent	Approved	09/06/2016
B California	Agent	Approved	09/06/2016
B Colorado	Agent	Approved	09/06/2016
B Connecticut	Agent	Approved	09/06/2016
B Delaware	Agent	Approved	09/06/2016
B District of Columbia	Agent	Approved	09/06/2016
B Florida	Agent	Approved	09/06/2016
B Georgia	Agent	Approved	09/06/2016
B Hawaii	Agent	Approved	09/06/2016
B Illinois	Agent	Approved	09/06/2016
B Indiana	Agent	Approved	09/06/2016



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	09/06/2016
B Kentucky	Agent	Approved	09/06/2016
B Louisiana	Agent	Approved	09/06/2016
B Maine	Agent	Approved	09/06/2016
B Maryland	Agent	Approved	09/06/2016
B Massachusetts	Agent	Approved	09/06/2016
B Michigan	Agent	Approved	09/06/2016
B Minnesota	Agent	Approved	09/06/2016
B Mississippi	Agent	Approved	09/06/2016
B Missouri	Agent	Approved	09/06/2016
B Nevada	Agent	Approved	09/06/2016
B New Hampshire	Agent	Approved	09/06/2016
B New Jersey	Agent	Approved	09/06/2016
B New Mexico	Agent	Approved	09/06/2016
B New York	Agent	Approved	09/06/2016
B North Carolina	Agent	Approved	09/06/2016
B Ohio	Agent	Approved	09/06/2016
B Oregon	Agent	Approved	09/06/2016
B Pennsylvania	Agent	Approved	09/06/2016



Qualifications

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	09/06/2016
B Rhode Island	Agent	Approved	09/06/2016
B South Carolina	Agent	Approved	09/06/2016
B Texas	Agent	Approved	09/06/2016
B Utah	Agent	Approved	09/06/2016
B Vermont	Agent	Approved	09/06/2016
B Virginia	Agent	Approved	09/06/2016
B Washington	Agent	Approved	09/12/2016
B West Virginia	Agent	Approved	09/06/2016
B Wisconsin	Agent	Approved	09/06/2016

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
1735 Market St
Ste 1400
Philadelphia, PA 19103




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	07/31/1984

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/15/1979

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/29/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/31/1980

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	03/02/2007 - 09/06/2016	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	PHILADELPHIA, PA
B	01/13/2001 - 09/06/2016	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	PHILADELPHIA, PA
B	09/01/1997 - 01/13/2001	DB ALEX. BROWN LLC	CRD# 17790	BALTIMORE, MD
B	01/11/1990 - 09/01/1997	ALEX. BROWN & SONS INCORPORATED	CRD# 20	
B	09/29/1989 - 12/22/1989	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	02/26/1988 - 08/23/1989	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	05/04/1987 - 02/27/1988	MOSELEY SECURITIES CORPORATION	CRD# 7908	
B	02/02/1987 - 05/08/1987	SHERWOOD CAPITAL, INC.	CRD# 10474	
B	09/20/1979 - 02/02/1987	FIRST JERSEY SECURITIES, INC.	CRD# 6621	

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
09/2016 - Present	RAYMOND JAMES & ASSOCIATES, INC.	Registered Representative	Y	PHILADELPHIA, PA, United States
01/2001 - 09/2016	DEUTSCHE BANK SECURITIES INC.	Mass Transfer	Y	NEW YORK, NY, 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)Name of Business: Address: 6 gladstone rd, wallingford, PA, 19086, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 04/01/2023 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: none



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

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

Reporting Source:	Regulator
Regulatory Action Initiated By:	DELAWARE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/24/1989
Docket/Case Number:	89-01-07
Employing firm when activity occurred which led to the regulatory action:	FIRST JERSEY SECURITIES, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	ON JANUARY 24, 1989, THE DELAWARE SECURITIES DIVISION ISSUED A NOTICE OF ALLEGATIONS AND ORDER FOR PROCEEDING TO SUSPEND OR REVOKE AGENT REGISTRATION IN THE MATTER OF MARK O'NEILL. THE NOTICE CHARGES O'NEIL WITH SEVEN COUNTS OF SALES OF SECURITIES BY AN UNREGISTERED AGENT IN VIOLATIONS OF 6 DEL. C. SECTION 7313 AND TWO COUNTS OF MATERIALLY MISLEADING APPLICATION TO REGISTER AS AGENT IN VIOLATION OF 6 DEL. C. SECTIONS 7316(A)(1) AND (A)(2). THE LATTER CHARGE INVOLVES O'NEILL'S FAILURE TO DISCLOSE ON HIS U4 FORMS A PENDING 1986 COMPLAINT FOR PERMANENT INJUNCTION FILED BY THE STATE OF DELAWARE IN CHANCERY COURT (C.A. NO. 8681) WHICH NAMES O'NEILL AS DEFENDANT IN THE ACTION.
Current Status:	Final



Resolution: Consent

Resolution Date: 06/16/1989

Sanctions Ordered: Censure

Other Sanctions Ordered: WITHDRAW HIS REGISTRATION IN DELAWARE AND AGREED NOT TO REAPPLY FOR A PERIOD OF FIVE YEARS FROM THE DATE OF THE AGREEMENT.

Sanction Details: ON JUNE 16, 1989, A CONSENT ORDER WAS ISSUED AGAINST MARK O'NEIL IN CONNECTION THE JUNE 19, 1989 CONSENT AGREEMENT ENTERED INTO BETWEEN O'NEIL'S FIRM AND THE STATE OF DELAWARE. IN THE CONSENT ORDER, THE DELAWARE SECURITIES COMMISSIONER CENSURED MARK O'NEIL FOR SUBMITTING A MISLEADING REGISTRATION FORM TO REGISTER AS AN AGENT OF A CORPORATION. ON FEBRUARY 26, 1988, O'NEILL CONSENTED TO THE ENTRY OF THE ORDER AS PART OF AN AGREEMENT TO RESOLVE ADMINISTRATIVE CHARGES FILED BY THE DELAWARE SECURITIES DIVISION ON JANUARY 24, 1989 AND TO SETTLE THE STATE'S CLAIM AGAINST HIM IN THE STATE OF DELAWARE. UNDER THE TERMS OF THE CONSENT AGREEMENT, O'NEILL AGREED TO IMMEDIATELY WITHDRAW HIS REGISTRATION IN DELAWARE AND AGREED NOT TO REAPPLY FOR A PERIOD OF FIVE YEARS FROM THE DATE OF THE AGREEMENT. THE STATE OF DELAWARE AGREED TO SUSPEND ITS ADMINISTRATIVE ACTION AGAINST O'NEILL.

Regulator Statement ON OCTOBER 14, 1986, THE STATE OF DELAWARE FILED A COMPLAINT FOR PERMANENT INJUNCTION IN CHANCERY COURT NAMING MARK O'NEILL, A BROKERAGE FIRM, AND OTHER INDIVIDUALS AS DEFENDANTS. THE COMPLAINT ALLEGED THAT THE BROKERAGE FRIM THROUGH ITS AGENTS TRANSACTED BUSINESS IN DELAWARE WITHOUT PROPER REGISTRATION IN VIOLATION OF THE DELAWARE SECURITIES ACT DURING THE PERIOD OF APPROXIMATELY JULY 31, 1980 TO OCTOBER 1986. AS PART OF THE AGREEMENT, THE DEFENDANT IN THE CHANCERY COURT ACTION, MARK O'NEILL CONSENTED TO CENSURE ORDERS BY THE DELAWARE SECURITIES COMMISSIONER AND AGREED TO WITHDRAW HIS REGISTRATION IN DELAWARE AND NOT REAPPLY FOR FIVE YEARS.

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Reporting Source: Firm

Regulatory Action Initiated By: DELAWARE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/24/1989

Docket/Case Number: 89-01-07

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final



Resolution: Consent

Resolution Date: 06/16/1989

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details:

.....

Reporting Source: Individual

Regulatory Action Initiated By: DELAWARE SECURITIES COMMISSION

Sanction(s) Sought: Censure

Other Sanction(s) Sought:

Date Initiated: 01/24/1989

Docket/Case Number: 89-01-07

Employing firm when activity occurred which led to the regulatory action: FIRST JERSEY SECURITIES INC.

Product Type: No Product

Other Product Type(s):

Allegations: THE STATE OF DELAWARE ALLEGED THAT THE BROKER SOLD SECURITIES WHILE NOT REGISTERED IN DELAWARE AND THAT HE FILED FALSE AND MISLEADING U4 FORMS IN DELAWARE.

Current Status: Final

Resolution: Consent

Resolution Date: 06/16/1989

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details: CONSENT TO LETTER OF CENSURE, WITHDRAWAL OF REGISTRATION. NO REAPPLICATION OF REGISTRATION FOR 5 YEARS FROM DATE OF CENSURE.

Broker Statement IN JANUARY 1989, THE DELAWARE SECURITIES COMMISSION FILED NOTICE OF ALLEGATIONS AGAINST ME ALLEGING THAT I SOLD SECURITIES TO DELAWARE RESIDENTS WHILE I WAS NOT LICENSED IN THE STATE. THE NOTICE FURTHER ALLEGED THAT I FILED MISLEADING FORM U4 WITH DELAWARE ON MAY 3, 1987 & FEBRUARY 26, 1988 WITH THE DELAWARE SECURITIES COMMISSION. I VEHEMENTLY DENY THESE ALLEGATIONS. HOWEVER, IN JUNE 1989, IN ORDER TO AVOID THE CONTINUED COST OF LITIGATION ON MY PERSONAL & BUSINESS LIVES, I ENTERED INTO A CONSENT DECREE WITH DELAWARE AGREEING NOT TO APPLY FOR A LICENSE IN DELAWARE FOR 5 YEARS. I NEITHER ADMITTED OR DENIED THE ALLEGATIONS IN THE CONSENT ORDER.



End of Report

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