BrokerCheck Report

Mohammed Ali Ansari

CRD# 1000440

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

Mohammed A. Ansari

CRD# 1000440

Currently employed by and registered with the following Firm(s):

IA **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
301 East Yamato Road
Boca Raton, FL 33431
CRD# 149018
Registered with this firm since: 12/10/2021

B **RAYMOND JAMES FINANCIAL SERVICES, INC.**
301 YAMATO ROAD
SUITE 3160
BOCA RATON, FL 33431
CRD# 6694
Registered with this firm since: 11/24/2021

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 6 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 5 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

IA **MARCUM WEALTH, LLC**
CRD# 134628
CLEVELAND, OH
05/2021 - 09/2021

IA **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
CRD# 149018
SAINT PETERSBURG, FL
06/2020 - 04/2021

IA **DOYENS CAPITAL MANAGEMENT INC.**
CRD# 287470
BOCA RATON, FL
03/2017 - 07/2020

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	3
Customer Dispute	2

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 6 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

Main Office Address: **880 CARILLON PARKWAY**
SAINT PETERSBURG, FL 33716

Firm CRD#: **149018**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	12/10/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	01/19/2022

Branch Office Locations

301 East Yamato Road
Boca Raton, FL 33431

Delray Beach, FL

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Office Address: **880 CARILLON PARKWAY**
ST. PETERSBURG, FL 33716

Firm CRD#: **6694**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	11/24/2021

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	12/06/2021
B	Illinois	Agent	Approved	02/04/2022
B	Massachusetts	Agent	Approved	03/08/2022
B	Michigan	Agent	Approved	01/18/2022
B	North Carolina	Agent	Approved	02/14/2023
B	Texas	Agent	Approved	01/14/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES, INC.
301 YAMATO ROAD
SUITE 3160
BOCA RATON, FL 33431

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	01/25/1996

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7TO	11/22/2021
B	Securities Industry Essentials Examination	SIE	11/01/2021
B	General Securities Representative Examination	Series 7	04/15/2002
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	12/05/2001
B	National Commodity Futures Examination	Series 3	08/01/1989

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	01/13/2022
IA	Uniform Investment Adviser Law Examination	Series 65	12/07/2016

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	05/2021 - 09/2021	MARCUM WEALTH, LLC	134628	Ft Lauderdale, FL
IA	06/2020 - 04/2021	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	West Palm Beach, FL
IA	03/2017 - 07/2020	DOYENS CAPITAL MANAGEMENT INC.	287470	Boca Raton, FL
B	04/2002 - 09/2002	SALOMON GREY FINANCIAL CORPORATION	43413	DALLAS, TX
B	09/1995 - 11/1998	CORPORATE SECURITIES GROUP, INC.	11025	ST. LOUIS, MO
B	07/1995 - 09/1995	ALLIED INVESTMENT SERVICES, INC.	25310	OAK BROOK, IL
B	01/1991 - 07/1995	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B	01/1991 - 07/1995	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY
B	12/1988 - 09/1990	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY
B	10/1988 - 12/1988	FIRST ATLANTIC INVESTMENT CORP.	13062	
B	09/1986 - 05/1988	OPPENHEIMER & CO., INC.	630	
B	09/1984 - 12/1984	WALL STREET FINANCIAL INC.	13124	
B	10/1981 - 11/1984	JOHN HANCOCK DISTRIBUTORS, INC.	468	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
12/2021 - Present	Arthur Rottenstein, LLC.	Independent Contractor	N	Boca Raton, FL, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2021 - Present	Boca Raton Financial Planners	Independent Contractor	N	Boca Raton, FL, United States
11/2021 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Boca Raton, FL, United States
11/2021 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Boca Raton, FL, United States
01/2017 - Present	Doyens Capital Management Inc.	Officer - CEO	N	Delray Beach, FL, United States
06/2020 - 10/2021	Marcum LLP	Director	N	Melville, NY, United States
04/2021 - 08/2021	Marcum Wealth, LLC	Financial Advisor	Y	Ft. Lauderdale, FL, United States
06/2020 - 04/2021	Raymond James Financial Services Advisors, Inc.	Investment Adviser Rep	Y	West Palm Beach, FL, United States
04/2020 - 04/2021	Marcum Financial Services LLC	Investment Adviser Rep	Y	Ft. Lauderdale, FL, United States
10/2015 - 07/2017	Experito Forensics Inc.	Principal - Forensic Accounting	N	Boca Raton, FL, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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: Ansari Foundation Address: 9435 Isles Cay Dr, Delray Beach, FL, 33446, United States Activity Type: Non profit Position/Title: Board Member, Chair of the Board, Officer - CEO, Founder Investment Related: Yes Start Date: 05/08/2023 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Charitable Foundation (501(c) (3) status) to dispense contributions to other charitable, religious and educational purposes, including, for such purposes, the making of distributions to organizations that qualify as exempt organizations under section 501(c)(3) IRC.
(2)Name of Business: Experito Forensics Inc. Address: 9435 Isles Cay Dr, Delray Beach, FL, 33446, United States Activity Type: Accounting/CPA Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 01/01/2022 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 2-10 Description of duties: Experito Forensics is also a licensed Insurance Agency to primarily transact in non-variable Insurance products. \n\nCurrently, Experito's revenue is primarily derived from services in tax preparation & consulting, forensic accounting and consulting, preparing reports related to any projects related to forensic accounting and AML investigations, etc.
(3)Name of Business: Experito Forensics, Inc. Address: 9435 Isles Cay Dr, Delray Beach, FL, 33446, United States Activity Type: Accounting/CPA Position/Title: Owner/Proprietor Investment Related: No Start Date: 10/18/2021 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: I independently work as a consultant in tax and forensic accounting. I

Registration and Employment History

Other Business Activities, continued

represent clients like individuals, law firms and financial institutions providing consulting services in Forensic accounting, tax disputes, tax preparation, dispute resolution, Anti-Money Laundering consulting, fraud investigations, securities litigations, etc. \n\nAdditionally, I provide reports and may testify in courts, arbitration and mediation panels on my findings, as needed by the clients.
(4)Name of Business: Doyens Capital Management, Inc. Address: 17061 Emile Street, Apt 2, Boca Raton, FL, 33487, United States Activity Type: Support Company - Owner Position/Title: Officer - CEO Investment Related: No Start Date: 01/03/2017 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: It is a Sub S Corporation registered in Florida, but inactive. \nNo revenues, but will maintain the business entity's registration.

Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   -
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	3	0
Customer Dispute	0	2	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 3

Reporting Source:	Broker
Regulatory Action Initiated By:	State of Illinois Department of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	05/08/2002
Docket/Case Number:	Resolved without a hearing therefore no docket #
Employing firm when activity occurred which led to the regulatory action:	No Firm - Independent Insurance Agent
Product Type:	Insurance
Allegations:	On August 21, 2001, the Florida Department of Insurance denied the applicant a non-resident insurance license. Denial was reulst of making material misstatement on application. On October 21, 2001, applicant completed a signed Illinois- non-resident application indicating no regulatory action had been taken by an other state. By denying no action taken by another state, applicant provided materailly untrue information.
Current Status:	Final
Resolution:	Stipulation and Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/08/2002
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: Shall make certain that all questions answered on any future application to obtain non-resident or renewal license are true, correct and commplete.

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$1,000.00
Portion Levied against individual:	$1,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/14/2002
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 2 of 3

Reporting Source:	Broker
Regulatory Action Initiated By:	State of Illinois Department of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	12/23/1994
Docket/Case Number:	Resolved without a hearing therefore no docket #
Employing firm when activity occurred which led to the regulatory action:	Doyens, Inc.

Product Type:	No Product
Allegations:	Submission of producer license renewal fees were returned by the bank as non-sufficient funds on three separate occasions.
Current Status:	Final
Resolution:	Stipulation and Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/23/1994
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: Shall not issue checks to the Department unless a sufficient amount of money is on deposit to cover checks.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$300.00
Portion Levied against individual:	$300.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/27/1994
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 3 of 3

Reporting Source:	Broker
Regulatory Action Initiated By:	FLORIDA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Denial

Date Initiated:	02/23/2001
Docket/Case Number:	41041001-AG
Employing firm when activity occurred which led to the regulatory action:	No Firm - Independent Insurance Agent
Product Type:	Insurance
Allegations:	BECAUSE OF OMMISSION ON FL STATE LICENSE APPLICATION REGARDING REGULATORY ACTION BY ILLINOIS DEPT OF INSURANCE APPLICATION WAS DENIED.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	08/21/2001
Sanctions Ordered:	Suspension Other: SUSPENDED FOR SIX MONTHS IN THE STATE OF FLORIDA
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Insurance
Duration:	Six Months
Start Date:	05/31/2001
End Date:	10/01/2001
Broker Statement	WAITING PERIOD OF SIX MONTHS BEFORE RE-APPLYING. LICENSE WAS FIANLLY ISSUED 10/2001

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source: Firm

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

Allegations: CUSTOMER CLAIMED SALE OF 3COM AND PURCHASE OF S3INC WAS UNAUTHORIZED RESULTING IN LOSSES OF $7,204.10.

Product Type: Other: 3COM AND S3INC

Alleged Damages: $7,204.10

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: 12/30/1998

Complaint Pending? No

Status: Closed/No Action

Status Date: 09/17/2010

Settlement Amount:

Individual Contribution Amount:

Firm Statement THIS MATTER ARISES OUT OF TRANSACTIONS UNDERTAKEN AT A PRIOR OR PREVIOUS FIRM. WELLS FARGO ADVISORS HAS NO RECORDS OR INFORMATION RELATING TO THE ISSUES REPRESENTED IN THIS REPORT. THE MATTER IS CONSIDERED CLOSED.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:	CORPORATE SECURITIES GROUP, INC.
Allegations:	ALLEGING DAMAGES OF $30,000. ALLEGED UNAUTHROIZED TRADES'
Product Type:	
Alleged Damages:	$30,000.00

Customer Complaint Information

Date Complaint Received:	02/20/1998
Complaint Pending?	No
Status:	Denied
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	NONE NAME OF EMPLOYING FIRM WHEN ALLEGED EVENT OCCURED-CORPOARTE SECURITIES GROUP (CSG) CSG COMPLIANCE DEPT CHECKED AND RESEARCHED THE COMPLAINT UPON RECEIPT. IT WAS DENIED & REJECTED ON 5/18/98

End of Report

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