

BrokerCheck Report

MARC JEFFREY ROWAN

CRD# 1410799

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

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.

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.](http://www.finra.org)

MARC J. ROWAN

CRD# 1410799

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

- B** **APOLLO GLOBAL SECURITIES, LLC**
 9 WEST 57TH STREET
 8TH FL
 NEW YORK, NY 10019-2701
 CRD# 153502
 Registered with this firm since: 04/01/2011

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
- 1 U.S. state or territory

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 0 State Securities Law Exams

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

- B** **CREDIT LYONNAIS SECURITIES (USA), INC.**
 CRD# 190
 07/1990 - 11/1994
- B** **DREXEL BURNHAM LAMBERT INCORPORATED**
 CRD# 7323
 11/1987 - 03/1990

**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
Civil Event	3



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 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **APOLLO GLOBAL SECURITIES, LLC**

Main Office Address: **9 WEST 57TH STREET
NEW YORK, NY 10019-2701**

Firm CRD#: **153502**

	SRO	Category	Status	Date
B	FINRA	Investment Banking Representative	Approved	04/01/2011
B	FINRA	Investment Banking Principal	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	02/23/2012

Branch Office Locations

APOLLO GLOBAL SECURITIES, LLC

9 WEST 57TH STREET
8TH FL
NEW YORK, NY 10019-2701

APOLLO GLOBAL SECURITIES, LLC

100 West Putnam Avenue
1st Floor
Greenwich, CT 06830



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, 3 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	04/20/2011

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Banking Registered Representative Examination	Series 79	03/11/2011
B General Securities Representative Examination	Series 7	11/21/1987

State Securities Law Exams

Exam	Category	Date
No information reported.		

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
B 07/1990 - 11/1994	CREDIT LYONNAIS SECURITIES (USA), INC.	190	
B 11/1987 - 03/1990	DREXEL BURNHAM LAMBERT INCORPORATED	7323	

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
03/2010 - Present	APOLLO GLOBAL SECURITIES, LLC	SENIOR MANAGING DIRECTOR	Y	NEW YORK, NY, United States
07/2007 - Present	APOLLO GLOBAL MANAGEMENT, LLC	SENIOR MANAGING DIRECTOR	Y	NEW YORK, NY, United States
06/2008 - 03/2017	APOLLO COMMODITIES MANAGEMENT, L.P	SENIOR MANAGING DIRECTOR	Y	NEW YORK, NY, 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.

Alchemy Group Holdings LLC, Managing Member, March 2020 - Present.

Mr. Rowan is a managing member of Alchemy Group Holdings LLC, an investment related holdings vehicle that holds investment entities, real estate assets, hospitality properties, and restaurants (for example, Duryea's Montauk, Duryea's Orient Point, Lulu Kitchen Bar, and Duryea's Sunset Cottages). Alchemy Group Holdings LLC is also the managing member of Mr. Rowan's family office, RWN Management, LLC. January 2026 - Present, executive board member of the National Committee for the Administration of Gaza and the Gaza Board of Peace, not investment related. June 2025 - Present, Board Member of the Future of Israel Fund, not investment related.

Serves as Director (or its equivalent) on the Board of Directors (or its equivalent) of portfolio companies affiliated with AGM. The portfolio company is Apollo Insurance Solutions Group GP Ltd.

Registration and Employment History



Other Business Activities, continued

May conduct investment related business and/or performs administrative services on behalf of Apollo Global Management, Inc. ("AGM"), its registered investment advisers, and certain other wholly owned subsidiaries of AGM. AGM is the ultimate parent company of Apollo Global Securities, LLC. For more information concerning AGM's registered investment advisers, please see the following advisers' Form ADVs and related Schedule Rs: Apollo Capital Management, L.P., CRD# 143161; Apollo Credit Management, LLC, CRD#: 156115, Apollo Investment Management, L.P., CRD#: 130610, Apollo Capital Credit Adviser, LLC, CRD#: 286485, Apollo Real Estate Fund Adviser, LLC, CRD#: 169120, ARIS Management, LLC, CRD#: 317315 and Apollo Manager, LLC, CRD#: 327828. I also serve in nominal and/or ministerial roles with AGM affiliated entities other than those described above. My service in these roles is a component of AGM's investment management business and is part of my employment.



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.
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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.
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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
Civil Event	3	0	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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.

Civil - Pending

This type of disclosure event involves a pending civil court action that seeks an injunction in connection with any investment-related activity or alleges a violation of any investment-related statute or regulation.

Disclosure 1 of 3

Reporting Source:	Broker
Initiated By:	Solomon Feldman (purported stockholder of Apollo Global Management, Inc.)
Relief Sought:	Other: The complaint seeks relief in an unspecified amount to be proved at trial.
Date Court Action Filed:	03/02/2026
Date Notice/Process Served:	03/23/2026
Product Type:	Equity Listed (Common & Preferred Stock)
Type of Court:	Federal Court
Name of Court:	United States District Court for the Southern District of New York
Location of Court:	New York, New York
Docket/Case #:	1:26-cv-1692
Employing firm when activity occurred which led to the action:	
Allegations:	A purported stockholder of Apollo Global Management, Inc. ("AGM") filed a class action complaint alleging violations of the federal securities laws, including Section 10(b) of the Securities Exchange Act of 1934, against AGM, Marc Rowan, and Leon Black. The complaint challenges, among other things, certain of the defendants' public statements made in 2021 and 2022 that AGM never did any business with Jeffrey Epstein. The class period alleged in the complaint is May 10, 2021, through February 21, 2026, inclusive. The complaint seeks damages in an unspecified amount to be proved at trial, an award of reasonable costs and



expenses to the plaintiff and class counsel, and such other relief as the court may deem just and proper.

Current Status: Pending

Limitations or Restrictions in Effect During Appeal: None

Disclosure 2 of 3

Reporting Source: Broker

Initiated By: ANGUILLA SOCIAL SECURITY BOARD

Relief Sought: Monetary Penalty other than Fines

Date Court Action Filed: 08/17/2023

Date Notice/Process Served: 08/17/2023

Product Type: Equity Listed (Common & Preferred Stock)

Type of Court: State Court

Name of Court: Court of Chancery of the State of Delaware

Location of Court: Wilmington, DE

Docket/Case #: 2023-0846-JTL

Employing firm when activity occurred which led to the action: APOLLO GLOBAL SECURITIES, LLC

Allegations: On August 17, 2023, a purported stockholder of AGM filed a shareholder derivative complaint in the Court of Chancery of the State of Delaware against current AGM directors Marc Rowan, Scott Kleinman, James Zelter, Alvin Krongard, Michael Ducey, and Pauline Richards, Apollo Former Managing Partners and former AGM directors Leon Black and Joshua Harris, and, as a nominal defendant, AGM. The complaint is captioned Anguilla Social Security Board vs. Black et al., C.A. No. 2023-0846-JTL and challenges the \$570 million payments being made to the Former Managing Partners and Contributing Partners in connection with transactions relating to the Tax Receivables Agreement (the "TRA") and the elimination of the Up-C structure that was in place prior to Apollo's merger with Athene. As previously disclosed in Apollo's SEC filings, this purported stockholder previously had sought and received documents relating to the transaction pursuant to Section 220 of the Delaware General Corporation Law. The derivative complaint alleges that the challenged payments amount to corporate waste, that the Former Managing Partners and Contributing Partners received payments in



connection with the Corporate Recapitalization that exceed fair value and therefore breached their fiduciary duties, and that the independent conflicts committee of the AAM board of directors (which then-consisted of Krongard, Ducey, and Richards) that negotiated the challenged transactions breached their fiduciary duties. The complaint alleges that pre-suit demand was futile because a majority of AGM's board is either not independent from the Former Managing Partners or faces a substantial likelihood of liability in light of the challenges to the transaction. The complaint seeks, among other things, declaratory relief, unspecified monetary damages, interest, restitution, disgorgement, injunctive relief, costs, and attorneys' fees

Current Status: Pending

Limitations or Restrictions in Effect During Appeal: None

Disclosure 3 of 3

Reporting Source: Broker

Initiated By: Harbinger Capital Partners II, LP and Certain Affiliates and/or Other Entities

Relief Sought: Other: Money Damages, Punitive Damages, Interest, Costs and Attorneys' Fees

Date Court Action Filed: 06/08/2020

Date Notice/Process Served: 08/10/2020

Product Type: No Product

Type of Court: State Court

Name of Court: Supreme Court of the State of New York, New York County

Location of Court: New York, NY

Docket/Case #: 652342/2020

Employing firm when activity occurred which led to the action: Apollo Management, L.P.

Allegations: On August 10, 2020, several entities affiliated with Harbinger Capital Partners ("Harbinger") served a complaint in an action commenced on June 8, 2020 in New York State court alleging, among other things, that Apollo Global Management, LLC and certain of its affiliated entities (collectively, "Apollo") and certain individuals, including some affiliated with Apollo including me (the "Apollo Individuals") defrauded plaintiffs in connection with plaintiffs' investments in SkyTerra Communications, Inc. ("SkyTerra"). The Apollo Individuals who are



named as defendants in the action are former directors of SkyTerra. The plaintiffs have brought claims of fraud, civil conspiracy, negligent misrepresentation, breach of fiduciary duty, aiding and abetting, breach of contract and unjust enrichment against Apollo and/or the Apollo Individuals.

Current Status: Pending

Limitations or Restrictions in Effect During Appeal: N/A

End of Report



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