

## BrokerCheck Report

**MARK DORFMAN**

CRD# 1457646

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



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**MARK DORFMAN**

CRD# 1457646

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

- IA NOSURIS, INC.**  
700 MERRICK ROAD  
LYNBROOK, NY 11563  
CRD# 160979  
Registered with this firm since: 02/14/2019
- IA COMPREHENSIVE CAPITAL MANAGEMENT, INC.**  
700 MERRICK ROAD  
LYNBROOK, NY 11563  
CRD# 119890  
Registered with this firm since: 03/24/2009
- B APW CAPITAL, INC.**  
700 MERRICK ROAD  
LYNBROOK, NY 11563  
CRD# 43814  
Registered with this firm since: 03/11/2009

**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
- 8 U.S. states and territories

**This broker has passed:**

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

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

- IA CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**  
CRD# 134139  
FAIRFIELD, IA  
01/2008 - 03/2009
- B CAMBRIDGE INVESTMENT RESEARCH, INC.**  
CRD# 39543  
LYNBROOK, NY  
01/2008 - 03/2009
- IA AMERICAN PORTFOLIOS ADVISORS, INC**  
CRD# 112697  
HOLBROOK, NY  
12/2003 - 01/2008

**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	1
Customer Dispute	1



## 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 8 U.S. states and territories through his or her employer.**

### Employment 1 of 3

Firm Name: **APW CAPITAL, INC.**

Main Office Address: **100 ENTERPRISE DRIVE, SUITE 504  
ROCKAWAY, NJ 07866**

Firm CRD#: **43814**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	03/11/2009
B	FINRA	General Securities Representative	Approved	03/11/2009
B	FINRA	Invest. Co and Variable Contracts	Approved	03/11/2009

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	06/21/2017
B	Connecticut	Agent	Approved	03/18/2009
B	Florida	Agent	Approved	03/19/2009
B	Georgia	Agent	Approved	01/05/2012
B	New Jersey	Agent	Approved	03/19/2009
B	New York	Agent	Approved	03/19/2009
B	Washington	Agent	Approved	09/25/2019

### Branch Office Locations

**APW CAPITAL, INC.**  
700 MERRICK ROAD



## Broker Qualifications

### Employment 1 of 3, continued

LYNBROOK, NY 11563

### Employment 2 of 3

Firm Name: **COMPREHENSIVE CAPITAL MANAGEMENT, INC.**

Main Office Address: **100 ENTERPRISE DRIVE, SUITE 504  
ROCKAWAY, NJ 07866**

Firm CRD#: **119890**

	U.S. State/ Territory	Category	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	03/24/2009
IA	New York	Investment Adviser Representative	Approved	03/20/2021

### Branch Office Locations

700 MERRICK ROAD  
LYNBROOK, NY 11563

### Employment 3 of 3

Firm Name: **NOSURIS, INC.**

Main Office Address: **700 MERRICK ROAD  
LYNBROOK, NY 11563-2327**

Firm CRD#: **160979**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	03/13/2020
IA	New York	Investment Adviser Representative	Approved	02/09/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	02/14/2019

## Broker Qualifications



### Employment 3 of 3, continued Branch Office Locations

700 MERRICK ROAD  
LYNBROOK, NY 11563-2327

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## 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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Municipal Fund Securities Principal Examination	Series 51	09/08/2003
<b>B</b> General Securities Principal Examination	Series 24	05/05/2003

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	02/15/1986

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	11/25/2003
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	02/21/1986

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



## Broker Qualifications

### Professional Designations

This section details that the representative has reported **1** professional designation(s).

#### Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>





## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>IA</b> 01/2008 - 03/2009	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	LYNBROOK, NY
<b>B</b> 01/2008 - 03/2009	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	LYNBROOK, NY
<b>IA</b> 12/2003 - 01/2008	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY
<b>B</b> 09/2002 - 01/2008	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	LYNBROOK, NY
<b>B</b> 11/1989 - 09/2002	WISE PLANNING CORP.	899	HICKSVILLE, NY
<b>B</b> 05/1997 - 12/2000	HARTFORD EQUITY SALES COMPANY INC.	6604	HARTFORD, CT
<b>B</b> 08/1995 - 12/1996	HARTFORD EQUITY SALES COMPANY INC.	6604	HARTFORD, CT
<b>B</b> 07/1988 - 11/1989	INTEGRATED RESOURCES EQUITY CORPORATION	6403	
<b>B</b> 02/1986 - 05/1988	CAPITAL ANALYSTS, INCORPORATED	5478	

### 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
02/2012 - Present	Nosuris	IAR/CEO	Y	Lynbrook, NY, United States
03/2009 - Present	APW Capital, Inc	REGISTERED REP	Y	Rockaway, NJ, United States
02/2009 - Present	Comprehensive Capital Management, Inc.	Investment Advisor Rep	Y	Rockaway, NJ, United States
03/1988 - Present	OBERLANDER DORFMAN INC.	INS. SALES	N	VALLEY STREAM, NY, United States



## Registration and Employment History

### 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.

1-700 MERRICK ROAD REALTY; BALDWIN, NY; REAL ESTATE BROKERAGE; START DATE: 1/1/1996; TITLE: MEMBER; DUTIES: ADMIN.; 0% TIME SPENT.

2-ODI AGENCY; LYNBROOK, NY; SVC. DESCRIPTION: INSURANCE WHOLESale; START DATE: 4/1/2007; CORPORATION; TITLE: PRESIDENT; DUTIES: BROKERAGE SALES OF LIFE INSURANCE; 10% TIME SPENT.

3-OBERLANDER DORFMAN, INC.; LYNBROOK, NY; DBA NAME: THEBESTGA; START DATE: 1/1/1988; TITLE: PRINCIPAL; 40% TIME SPENT.

4- Nosuris, Inc; Lynbrook, NY; RIA; start date: 1/1/2011; Title: President; Duties: Admin. & Sales; 0 time spent.

5. CE Instructor; Valley Stream, NY; non-investment related; Service: continuing education instructor for insurance professionals; Title: instructor; Duties: teach courses providing CE credits to insurance professionals; Time spent: 1 hour/mo.

6. Monitor/Proctor; Lynbrook, NY; non-investment related; title: Proctor; Duties: Proctor insurance exams; Time spent: 1 hour/mo.

7. 1430 Milstone Road; non-investment related; Service description: rental real estate investment. Title: owner of property; Time spent: 0.

8. Mark Dorfman; Lynbrook, NY; non-investment related; d/b/a: The Best of GA or ODI Financial; Title: Self; Duties: facilitate the sale of traditional life insurance through life settlement; Time spent: 10 hours/year.

9. Registered rep of Aurora Private Wealth and general life insurance agent of The Best GA.

10. Comprehensive Capital Management, Inc., Investment related:Yes, 700 Merrick Rd, Lynbrook, NY, 11563, investment advisory services, IAR, 03/11/2009, 20 hours per week, manage client accounts

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## 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
Regulatory Event	0	1	0
Customer Dispute	0	1	N/A



## 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.

### 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 1

<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	STATE OF NEW YORK INSURANCE DEPARTMENT
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	FINE (AS STATED IN THE STIPULATION)
<b>Date Initiated:</b>	04/19/2000
<b>Docket/Case Number:</b>	800-0106-N
<b>Employing firm when activity occurred which led to the regulatory action:</b>	OBERLANDER & DORFMAN, INC.
<b>Product Type:</b>	Insurance
<b>Other Product Type(s):</b>	HEALTH INSURANCE
<b>Allegations:</b>	VIOlation OF SEC.2117 OF THE INSURANCE LAW IN THAT, ON 36 OCCASSIONS IN AND BETWEEN 1994 AND 1997, REPRESENTATIVE SOLICITED AND SOLD NYS MEDICAL INSURANCE ON BEHALF OF IMG MEDICAL GROUP AN ENTITY NOT LICENSED IN THE STATE OF NY.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent



**Resolution Date:** 04/20/2001

**Sanctions Ordered:** Monetary/Fine \$3,600.00

**Other Sanctions Ordered:**

**Sanction Details:** THE STIPULATION NAMED THE REPRESENTATIVE AND TWO OTHER INDIVIDUALS EACH PAID \$1200.00 ON 4/19/2000

**Broker Statement** REPRESENTATIVE STATES: THAT IN THE TIME THE INSURANCE WAS SOLD HE HAD GOOD FAITH AND BELIEF THAT THE PRODUCT WAS LEGAL IN NY.IMG CONTENDED THAT THE MEDICAL PRODUCTS THEY SELL ARE SURPLUS LINES OF COVERAGE AND DID NOT REQUIRE NYS APPROVAL. WITHOUT THIS UNDERSTANDING FROM IMG THE PRODUCT WOULD NOT HAVE BEEN SOLD.



## 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 1

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** CAMBRIDGE INVESTMENT RESEARCH, INC.

**Allegations:** CLIENT WAS UNAWARE THAT HE WAS INVESTED IN PRODUCTS THAT WERE SUBJECT TO MARKET FLUCTUATION. FUND DROPPED IN PRICE AND CLIENT EXPRESSED CONCERN ON APRIL 18, 2008.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$480,320.00

### Customer Complaint Information

**Date Complaint Received:** 04/18/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 12/09/2008

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** ALLEGED COMPENSATORY DAMAGE AMOUNT CONSTITUTES FIRM'S BEST EFFORTS TO DETERMINE DAMAGES DUE TO MARKET LOSS. THIS AMOUNT REPRESENTS 13% OF THE TOTAL INVESTMENT. CLIENT HAS SINCE CONTRADICTED AND WITHDRAWN HIS WRITTEN COMPLAINT AS WELL AS INDICATED TO RR THAT HE IS SATISFIED WITH HIS INVESTMENT. \*\*\*\*CLIENT REEXPRESSED CONCERN SO FIRM REOPENED COMPLAINT (10/29/2008). \*\*\*\*FIRM FOUND CLIENT WAS AWARE OF THE POSSIBILITY OF MARKET FLUCTUATION AT THE TIME OF PURCHASE AND HAS DENIED THE COMPLAINT (12/09/2008).

## End of Report



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