

BrokerCheck Report

MARC JAY LANE

CRD# 1498190

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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. LANE**

CRD# 1498190

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

- B** **MARC J. LANE & COMPANY**
 200 E. Randolph Street
 Suite 5100
 Chicago, IL 60601
 CRD# 16188
 Registered with this firm since: 04/19/1996

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
- 15 U.S. states and territories

This broker has passed:

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

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

- IA** **GUARDIAN ROCK WEALTH INVESTMENT MANAGEMENT, INC.**
 CRD# 120529
 LISLE, IL
 02/2002 - 09/2021

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



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 15 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MARC J. LANE & COMPANY**

Main Office Address: **200 E. RANDOLPH STREET
SUITE 5100
CHICAGO, IL 60601**

Firm CRD#: **16188**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/19/1996
B	FINRA	General Securities Principal	Approved	08/06/1996
B	FINRA	Registered Options Principal	Approved	05/08/1997
B	FINRA	Investment Banking Representative	Approved	05/03/2010
B	FINRA	Operations Professional	Approved	12/13/2011
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/18/2017
B	California	Agent	Approved	01/01/1997
B	Colorado	Agent	Approved	07/09/2012
B	Florida	Agent	Approved	01/02/1997
B	Illinois	Agent	Approved	05/09/1996
B	Indiana	Agent	Approved	01/01/1997



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kentucky	Agent	Approved	01/02/1997
B	Maryland	Agent	Approved	01/10/2023
B	Michigan	Agent	Approved	01/13/2020
B	New York	Agent	Approved	01/01/1997
B	Ohio	Agent	Approved	01/10/2023
B	South Carolina	Agent	Approved	01/20/2023
B	Texas	Agent	Approved	10/17/2007
B	Vermont	Agent	Approved	01/10/2023
B	Wisconsin	Agent	Approved	01/10/2023

Branch Office Locations

MARC J. LANE & COMPANY

200 E. RANDOLPH STREET
SUITE 5100
CHICAGO, IL 60601

MARC J. LANE & COMPANY

200 E. Randolph Street
Suite 5100
Chicago, IL 60601



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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Compliance Officer Examination	Series 14	01/02/2023
B Registered Options Principal Examination	Series 4	05/06/1997
B General Securities Principal Examination	Series 24	08/05/1996

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	04/18/1996

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	02/11/2002
B Uniform Securities Agent State Law Examination	Series 63	05/03/1996

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 02/2002 - 09/2021	GUARDIAN ROCK WEALTH INVESTMENT MANAGEMENT, INC.	120529	LISLE, IL

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
11/1971 - Present	LAW OFFICES OF MARC J. LANE	OTHER - PRES., ATTORNEY	N	CHICAGO, IL, United States
11/1971 - Present	MARC J. LANE & COMPANY	NOT PROVIDED	Y	CHICAGO, IL, United States
02/2002 - 09/2021	MARC J. LANE INVESTMENT MANAGEMENT, INC.	PRESIDENT	Y	CHICAGO, IL, 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.

Law Offices of Marc J. Lane, P.C. - President

Marc J. Lane Risk Management - President

Author of 35 books on corporate organization, management, taxation, investment, personal finance, and social enterprise.



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



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

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/08/2002
Docket/Case Number:	C8A020075
Employing firm when activity occurred which led to the regulatory action:	MARC J. LANE & COMPANY
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULES 1120(A) AND 2110 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT LANE CONSENTED TO THE ENTRY OF FINDINGS THAT HE ENGAGED IN SECURITIES BUSINESS BY APPROVING NEW ACCOUNT FORMS AND BY CREATING AND SENDING CORRESPONDENCE TO THE MEMBER'S CUSTOMERS AND CLEARING FIRM, DESPITE THE FACT THAT HIS REGISTRATION HAD BECOME INACTIVE BASED ON HIS FAILURE TO TIMELY COMPLETE THE REGULATORY ELEMENT OF THE CONTINUING EDUCATION PROGRAM, IN VIOLATION OF



NASD MEMBERSHIP AND REGISTRATION RULE AND NASD CONDUCT RULE.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/08/2002

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: A CENSURE AND A FINE OF \$2,500.

Reporting Source: Broker

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought: Censure

Other Sanction(s) Sought: CENSURE AND FINE

Date Initiated: 09/20/2002

Docket/Case Number: C8A020075

Employing firm when activity occurred which led to the regulatory action: MARC J. LANE & COMPANY

Product Type: No Product

Other Product Type(s): REGARDING CONTINUING EDUCATION

Allegations: THE FIRM AND MARC J. LANE RECEIVED AN ACCEPTANCE, WAIVER AND CONSENT FOR CONSIDERATION REGARDING CONTINUING EDUCATION REGULATORY ELEMENT FOR MR. LANE. MR. LANE SIGNED SAID AWC ON 09/20/2002, AND THE NASD ACCEPTED THIS AWC ON 10/08/2002.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/08/2002

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00



Other Sanctions Ordered:

Sanction Details:

WE ARE AWAITING NOTICE FROM THE NASD FINANCE DEPARATMENT REGARDING PAYMENT OF THE \$2500.00 FINE

Broker Statement

THE FIRM AND MARC J. LANE RECEIVED AN ACCEPTANCE, WAIVER AND CONSENT REGARDING CONTINUTING EDUCATION ON 09/20/2002; MR. LANE SIGNED SAID AWC ON 09/20/2002 AND IT WAS ACCEPTED BY THE NASD ON 10/08/2002.

End of Report



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