

**BrokerCheck Report**  
**MARC LANCE PALEY**  
CRD# 1519554

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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).

**MARC L. PALEY**

CRD# 1519554

This broker is not currently registered.

**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 not currently registered.**

**This broker has passed:**

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

**Registration History**

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

**B AXIO FINANCIAL LLC**  
CRD# 118219  
NEW YORK, NY  
12/2011 - 09/2022

**B LEHMAN BROTHERS INC.**  
CRD# 7506  
NEW YORK, NY  
06/1993 - 03/2007

**B CS FIRST BOSTON CORPORATION**  
CRD# 816  
NEW YORK, NY  
10/1987 - 04/1989

**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? **No**

## 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 broker is not currently registered.

## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	04/16/2012

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Investment Banking Registered Representative Examination	Series 79	05/14/2012
<b>B</b> General Securities Representative Examination	Series 7	10/17/1987
<b>B</b> National Commodity Futures Examination	Series 3	09/12/1987

#### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/14/2013

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 **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 12/2011 - 09/2022	AXIO FINANCIAL LLC	118219	NEW YORK, NY
B 06/1993 - 03/2007	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 10/1987 - 04/1989	CS FIRST BOSTON CORPORATION	816	NEW YORK, NY

## 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
10/2015 - Present	AXIO FINANCIAL LIMITED	CEO	Y	TORONTO, Canada
10/2015 - Present	AXIO GROUP LLC	Chairman & CEO	N	WILMINGTON, DE, United States
10/2015 - Present	AXIO INSURANCE SERVICES LLC	EXECUTIVE CHAIRMAN	Y	NEW YORK, NY, United States
10/2015 - Present	CROSS MARKET TECHNOLOGY LLC	CEO	N	New York, NY, United States
09/2011 - Present	SCURA PARTNERS SECURITIES LLC	MANAGING DIRECTOR, HEAD OF PRIVATE PLACEMENTS	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.

TRUSTEE, LEHIGH UNIVERSITY

AXIO GROUP LLC - NON INVESTMENT RELATED- 489 FIFTH AVENUE, NY, NY 10017 - WHOLESALE DISTRIBUTION - EXECUTIVE CHAIRMAN & CEO- OCTOBER 2015 - 20-30 HOURS/MONTH - ALL DURING SECURITIES TRADING HOURS

## Registration and Employment History



### Other Business Activities, continued

AXIO INSURANCE SERVICES LLC- INVESTMENT RELATED - 489 5TH AVENUE, NY, NY 10017 - MARKETING OF FIXED ANNUITY TO OTHER BROKER-DEALER OR REGISTERED INVESTMENT ADVISERS - EXECUTIVE CHAIRMAN - STARTED IN JULY 2015- SPEND APPROXIMATELY 5 HOURS PER WEEK DURING THE SECURITIES TRADING HOURS.

CROSS MARKET TECHNOLOGY LLC - NON INVESTMENT RELATED - 489 5TH AVENUE, NY, NY 10017 - TECHNOLOGY SUPPORT SERVICES- EXECUTIVE CHAIRMAN - OCTOBER 2015 - 2 TO 5 HOURS PER MONTH ALL DURING SECURITIES TRADING HOURS.

AXIO FINANCIAL LIMITED - INVESTMENT RELATED - 121 KING STREET WEST SUITE 815 TORONTO ONTARIO CANADA M5H 3T9 - MARKETING OF INVESTMENT PRODUCTS - CEO -OCTOBER 2015 - 20 TO 40 HOURS/WEEK ALL DURING SECURITIES TRADING HOURS.

MAYFLOWER GROUP LLC; INVESTMENT RELATED; 489 FIFTH AVENUE, 15TH FL, NEW YORK, NY 10017; EXPORTS PETROLEUM; INVESTOR; 12/2018; 5 HOURS/WK, ALL DURING SECURITIES TRADING HOURS.

Outcome Driven Strategies LLC, 489 Fifth Avenue, New York, NY - creation, marketing and management of managed accounts consisting primarily of SP's. Investment related. No direct compensation from Outcome Driven Strategies. Approximately 5 hours a week. Commenced 11/2020

Alaia Capital, M+ Funds - 62 West 45th Street, New York, NY - Fund Management/Investment Management, Position held CEO. Website address [www.mplusfunds.com](http://www.mplusfunds.com). No direct compensation from Alaia Capital and M+Funds as entities are owned by Axio Group LLC. 5 hours per week during market hours. Commenced 3/2021

## End of Report



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