BrokerCheck Report

MARC HARRISON

CRD# 1605568

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.

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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:

- 2 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):

B **REID & RUDIGER LLC**
CRD# 47263
New York, NY
11/1999 - 04/2026

B **EMMETT A LARKIN COMPANY, INC.**
CRD# 6625
SAN FRANCISCO, CA
04/1999 - 11/1999

B **GRUNTAL & CO., L.L.C.**
CRD# 372
NEW YORK, NY
08/1989 - 04/1999

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination	Series 4	10/24/2000
B	General Securities Principal Examination	Series 24	06/04/1999

General Industry/Product Exams

	Exam	Category	Date
B	Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Research Analyst Exam - Part II Regulations Module	Series 87	07/20/2010
B	General Securities Representative Examination	Series 7	12/20/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	09/17/2002
B	Uniform Securities Agent State Law Examination	Series 63	01/08/1987

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.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	11/1999 - 04/2026	REID & RUDIGER LLC	47263	New York, NY
B	04/1999 - 11/1999	EMMETT A LARKIN COMPANY, INC.	6625	SAN FRANCISCO, CA
B	08/1989 - 04/1999	GRUNTAL & CO., L.L.C.	372	NEW YORK, NY
B	08/1988 - 09/1989	MARKETFIELD SECURITIES LIMITED	7682	
B	01/1989 - 08/1989	ROSENKRANTZ LYON & ROSS INCORPORATED	3227	NEW YORK, NY
B	04/1988 - 07/1988	NORTH AMERICAN INVESTMENT CORP.	7568	
B	09/1987 - 02/1988	L. F. ROTHSCHILD & CO. INCORPORATED	501	
B	12/1986 - 09/1987	SHEARSON LEHMAN BROTHERS INC.	7506	

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
09/2009 - Present	EVERMORE HOLDINGS LLC	CEO	N	NEW YORK, NY, United States
11/2002 - Present	REID & RUDIGER CAPITAL MANAGEMENT INC.	OWNER	Y	NEW YORK, NY, United States
11/1999 - Present	REID & RUDIGER LLC	MANAGING DIRECTOR, RR, GSP, ROP, CROP, SROP, GOV'T. PRINC.	Y	NEW YORK, 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.

EVERMORE HOLDINGS LLC , NOT INVESTMENT RELATED, NY, NY, PARENT HOLDING COMPANY OF REID & RUDIGER LLC, FOUNDER AND MANAGING MEMBER SINCE SEPT. 2009, DEVOTE APPROX., 2 HOURS PER MONTH, MOSTLY DURING NON TRADING HOURS, DUTIES ENTAIL OVERALL MANAGEMENT.

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:**
   - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - o 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.
   - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - o 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.
   - o
4. **There are different statuses and dispositions for disclosure events:**
   - o 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.
   - o 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 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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/02/2026
Docket/Case Number:	2019060647601
Employing firm when activity occurred which led to the regulatory action:	Reid & Rudiger LLC
Product Type:	Other: Unspecified Securities
Allegations:	The firm, Harrison, Mezzatesta, Reid, and Rudiger were named respondents in a FINRA complaint alleging that the firm, Reid, and Rudiger willfully violated Section 10(b) of the Exchange Act and Exchange Act Rule 10b-5 by churning customer accounts. The complaint alleges that Reid and Rudiger recommended a high-volume, high-cost market-timing strategy, which involved repeatedly taking large equity positions in stocks, often using margin, and then selling out of them after relatively short periods to fund purchases of different stocks that were unsuitable or in the best interests of customers. Reid and Rudiger exercised de facto control of trading in the accounts as the customers relied on them for trade ideas and routinely followed Reid and Rudiger's recommendations. Rudiger and Reid maximized their own financial benefit at the expense of their customers, generating

collective costs of $548,566.77 ($499,251.80 of which were commissions) and causing realized losses of $1,104,850.61 on accounts with an aggregate average monthly account value of $365,402.34. The complaint also alleges that firm, Reid, and Rudiger willfully violated Exchange Act Rule 15l-1(Reg BI) and violated FINRA rules 2111 and 2010 by excessively trading customer accounts. Reid and Rudiger made recommendations without exercising reasonable diligence, care, and skill to have a reasonable basis to believe that the series of recommended transactions were suitable for or in the best interests of those customers based on the customers' investment profile. The complaint further alleges that the firm, Reid and Rudiger willfully violated Reg BI Care Obligation. The firm is liable for Rudiger's and Reid's unsuitable recommendations to their customers, as well as the recommendations that were not in their customers' best interest, because Rudiger and Reid were both agents of the firm acting within the scope of their duties when they engaged in this misconduct. In addition, the complaint alleges that the firm and Rudiger failed to establish, maintain, and enforce written policies and procedures reasonably designed to achieve compliance with Reg BI, including the Care Obligation and caused the firm to willfully violate Exchange Act Rule 15l-1(a)(2)(iv). Rudiger, as the firm's CEO, was responsible for ensuring the firm had in place a supervisory system designed to reasonably detect and deter prohibited activities, including churning and excessive trading. Rudiger was also responsible for annually reviewing the firm's WSPs and certifying that its processes to establish, maintain, review, test and modify written compliance policies and written supervisory procedures were reasonably designed. The firm conducted manual suitability reviews and did not use available exception reports that included information regarding cost-to-equity ratio and turnover rate and did not otherwise calculate, obtain, or consider those metrics in conducting any supervisory reviews of Rudiger's or Reid's trading for quantitative suitability. Moreover, the complaint alleges Mezzatesta and Harrison failed to identify or investigate the red flags of potential churning and excessive trading by Rudiger and Reid and failed to reasonably address Rudiger and Reid's churning and excessive trading. Mezzatesta and Harrison missed or ignored multiple red flags indicating that Rudiger and Reid were churning or excessively trading, did not use available exception reports that included information regarding cost-to-equity ratio and turnover rate, and did not otherwise calculate, obtain, or consider those metrics in conducting any of their supervisory reviews of Rudiger and Reid's trading for quantitative suitability. Mezzatesta's and Harrison's failures to reasonably supervise resulted in Rudiger's, Reid's, and the firm's willful violations of Section 10(b) of the Exchange Act and Rule 10b-5 thereunder and Exchange Act Rule 15l-1.

Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement

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:	06/17/2026
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Undertaking Other: Harrison was required to comply with the undertaking enumerated in the Order.
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	Yes
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	No

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	No
(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	Yes

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	Any Principal Capacity
Duration:	Three Months
Start Date:	06/17/2026
End Date:	09/16/2026

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Without admitting or denying the allegations, the firm, Reid, Rudiger, Harrison, and Mezzatesta consented to the sanctions and to the entry of findings that the firm, Reid and Rudiger willfully violated Section 10(b) of the Exchange Act and Rule 10b-5 by churning customer accounts. The findings stated Reid and Rudiger exercised de facto control of the trading in the customer accounts. In excessively trading these customers' accounts, Rudiger and Reid maximized their own financial benefit at the expense of their customers, generating collective costs of $548,566.77 ($499,251.80 of which were commissions) and causing realized losses of $1,104,850.61 on accounts with an aggregate average monthly account value of $365,402.34. The firm is liable for Rudiger's and Reid's churning of their customers' accounts because Rudiger and Reid were both agents of the firm acting within the scope of their duties when they engaged in this misconduct. The findings also stated that the firm, Reid, and Rudiger willfully violated Exchange Act Rule 15l-1(a)(1) (Reg BI) by excessively trading customer accounts. Reid and Rudiger made a series of recommendations to customers without exercising reasonable diligence, care, and skill to have a reasonable basis to believe that the series of recommended transactions were in the best interests of those customers based on the customers' investment profile. Rudiger and Reid each placed their own interests ahead of the interests of their customers. The findings also included that the firm, Reid, and Rudiger willfully violated Reg BI Care Obligation. The firm, Reid, and Rudiger recommended a high-volume, high-cost market-timing strategy to customers that made it virtually impossible for those accounts to realize a profit. The strategy, which involved repeatedly taking large equity positions in stocks, often using margin, and then selling out of them after relatively short periods to fund purchases of different stocks, resulted in customers paying unreasonable costs. FINRA found that the firm and Rudiger failed to establish, maintain, and enforce written policies and procedures reasonably designed to achieve compliance with Reg BI, including the Care Obligation and caused the firm to

willfully violate Exchange Act Rule 15l-1(a)(2)(iv). Rudiger, as the firm's CEO, was responsible for ensuring the firm had in place a supervisory system designed to reasonably detect and deter prohibited activities, including churning and excessive trading. Rudiger was also responsible for annually reviewing the firm's WSPs and certifying that its processes to establish, maintain, review, test and modify written compliance policies and written supervisory procedures were reasonably designed. The firm conducted manual suitability reviews and did not use available exception reports that included information regarding cost-to-equity ratio and turnover rate and did not otherwise calculate, obtain, or consider those metrics in conducting any supervisory reviews of Rudiger's or Reid's trading for quantitative suitability. FINRA also found that Mezzatesta and Harrison failed to identify or investigate the red flags of potential churning and excessive trading by Rudiger and Reid and failed to reasonably address Rudiger and Reid's churning and excessive trading. Mezzatesta and Harrison missed or ignored multiple red flags indicating that Rudiger and Reid were churning or excessively trading, did not use available exception reports that included information regarding cost-to-equity ratio and turnover rate, and did not otherwise calculate, obtain, or consider those metrics in conducting any of their supervisory reviews of Rudiger and Reid's trading for quantitative suitability. Mezzatesta's and Harrison's failures to reasonably supervise resulted in Rudiger's, Reid's, and the firm's willful violations of Section 10(b) of the Exchange Act and Rule 10b-5 thereunder and Exchange Act Rule 15l-1.

Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Disgorgement Restitution
Date Initiated:	03/02/2026
Docket/Case Number:	2019060647601
Employing firm when activity occurred which led to the regulatory action:	Reid & Rudiger LLC
Product Type:	No Product
Allegations:	FINRA staff made a determination to recommend that disciplinary action be bought against me alleging violation of FINRA Rules 3110 and 2010.
Current Status:	Pending
Broker Statement	The allegations are denied and disputed and I intend to vigorously contest the

matter.

End of Report

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