

## BrokerCheck Report

### MARK ELLIS GOLD

CRD# 223820

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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 E. GOLD**

CRD# 223820

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:

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

### Registration History

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

- B UBS FINANCIAL SERVICES INC.**  
CRD# 8174  
Hallandale Beach, FL  
09/2015 - 08/2025
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
CRD# 7691  
AVENTURA, FL  
03/2006 - 09/2015
- B ADVEST, INC.**  
CRD# 10  
HARTFORD, CT  
09/2004 - 03/2006

### 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
Criminal	1
Customer Dispute	3
Termination	1

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## 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 3 principal/supervisory exams, 6 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	05/09/1985

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination	Series 7TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Foreign Currency Options Examination	Series 15	09/15/1988
<b>B</b> Interest Rate Options Examination	Series 5	01/25/1982
<b>B</b> AMEX Put and Call Exam	PC	05/05/1981
<b>B</b> Registered Representative Examination	Series 1	07/01/1967

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/03/1984

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>B</b> 09/2015 - 08/2025	UBS FINANCIAL SERVICES INC.	8174	Hallandale Beach, FL
<b>B</b> 03/2006 - 09/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	AVENTURA, FL
<b>B</b> 09/2004 - 03/2006	ADVEST, INC.	10	HARTFORD, CT
<b>B</b> 07/2000 - 09/2004	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
<b>B</b> 09/1989 - 07/2000	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
<b>B</b> 04/1981 - 09/1989	THOMSON MCKINNON SECURITIES INC.	829	NEW YORK, NY
<b>B</b> 02/1978 - 05/1981	SHEARSON LOEB RHOADES INC.	7506	
<b>B</b> 09/1977 - 03/1978	BACHE HALSEY STUART SHIELDS INCORPORATED	7471	
<b>B</b> 09/1974 - 09/1977	SHIELDS MODEL ROLAND INCORPORATED	6750	
<b>B</b> 10/1971 - 09/1974	SHIELDS & COMPANY INCORPORATED	768	
<b>B</b> 09/1969 - 01/1972	SCHEINMAN HOCHSTIN & TROTTA	1000001	

### 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
09/2015 - Present	UBS FINANCIAL SERVICES INC.	swsa	Y	aventura, FL, 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.

No information reported.

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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
Criminal	0	1	0
Customer Dispute	1	2	N/A
Termination	N/A	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>	FLORIDA DEPARTMENT OF FINANCIAL SERVICES
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	05/05/2005
<b>Docket/Case Number:</b>	420473
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ADVEST, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	ALLEGATIONS THAT HE HAD NOT COMPLIED WITH CONTINUING EDUCATION REQUIREMENTS REQUIRED BY SECTION 626.2815, FLORIDA STATUTES AND RULE 4-228 220, FLORIDA ADMINISTRATIVE CODE, FOR THE COMPLIANCE PERIOD ENDING FEBRUARY 28/2005.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent



**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:** 05/09/2005

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$250.00

**Portion Levied against individual:** \$250.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 05/09/2005

**Was any portion of penalty waived?** No

**Amount Waived:**



## Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

### Disclosure 1 of 1

**Reporting Source:** Broker

**Charge Date:** 07/07/1971

#### Charge Details:

#### Felony?

**Current Status:** Final

**Status Date:** 02/28/1972

#### Broker Statement

STATEMENT FROM GOLD THAT THE CONVICTION FOR VIOLATION OF INTERSTATE GAMBLING IN 1971 IS ERRONEOUS AS HE RECEIVED AN ORDER OF DISMISSAL, DISMISSING THE INDICTMENT AGAINST HIM, IN FEBRUARY 1972. HE FURTHER STATES THAT IN JULY 1971, HE BECAME THE SUBJECT OF AN INDICTMENT RETURNED BY A FEDERAL GRAND JURY SITTING IN MIAMI, FLORIDA. NINE OTHER INDIVIDUALS, INCLUDING HIS FATHER, EDWARD GOLD, WERE ALSO NAMED AS DEFENDANTS IN THE INDICTMENT. THE INDICTMENT CHARGED THE DEFENDANTS WITH CONSPIRACY TO VIOLATE AND THE VIOLATION OF FEDERAL AND STATE GAMBLING LAWS. SPECIFICALLY, THE INDICTMENT ALLEGED THAT THE DEFENDANTS HAD ENGAGED IN BOOKMAKING ACTIVITIES TO RECEIVE BETS AND WAGERS ON FOOTBALL AND BASKETBALL GAMES AND HORSE RACES. APPLICABLE COURT DOCUMENTS RECEIVED: ORDER FOR DISMISSAL, DISMISSING THE INDICTMENT AGAINST GOLD, UNITED STATES DISTRICT COURT, SOUTHERN DISTRICT OF FLORIDA, CRIMINAL NO. 71-414-CR-WM, FILED FEBRUARY 28, 1972. ALSO INCLUDED WAS THE INDICTMENT, STYLED UNITED STATES OF AMERICA V. DAVID MARDER, MORRIS ENGEL, JOHN PASQUALE TRONOLONE, EDDIE GOLD, MARK GOLD, TERRY MARLOWE, MORRIS KATZ, TERRY ELLSWORTH LOY, PAUL LEVINE, AND SAM GREEN, UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF FLORIDA, NO. 71-414-CR-TC. ORDER FOR DISMISSAL, DISMISSING THE INDICTMENT AGAINST GOLD REGARDING THE 1971 INTERSTATE GAMBLING CHARGE; UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF FLORIDA, CRIMINAL NO. 71-414-CR-WM, FILED FEBRUARY 28, 1972. (JD AND SEQ. #004035 17285)



## Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
<b>Allegations:</b>	THE CUSTOMERS ALLEGE MISREPRESENTATION, UNSUITABLE INVESTMENT RECOMMENDATIONS AND FAILURE TO OBTAIN PRIOR CONSENT BEFORE PURCHASING INVESTMENTS FROM OCTOBER 2006 TO MAY 2008.
<b>Product Type:</b>	Debt-Municipal
<b>Alleged Damages:</b>	\$550,000.00

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	10-03664
<b>Date Notice/Process Served:</b>	08/30/2010
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	01/26/2012
<b>Monetary Compensation Amount:</b>	\$125,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	THE [THIRD PARTY] REVOCABLE TRUST DATED 10/3/96, THE [THIRD PARTY] MARITAL TRUST DATED 5/31/2008 AND THE [THIRD PARTY] RESIDUARY TRUST DATED 5/31/2008.

### Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
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**Employing firm when activities occurred which led to the complaint:**

**Allegations:** CUSTOMER ALLEGED CLAIMS IN CONNECTION WITH TWO SECURITIES THAT WERE RECOMMENDED BY THE FIRM. CUSTOMER DEMANDED \$125,000.

**Product Type:**

**Alleged Damages:** \$125,000.00

**Customer Complaint Information**

**Date Complaint Received:** 12/01/1991

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$25,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** FIRM AGREED TO PAY CLIENT \$25,000. FA HAS NOT BEEN ASKED TO CONTRIBUTE TO SETTLEMENT. CUSTOMER HOLDS ME BLAMELESS. ALLEGES THAT FIRM MADE INVESTMENTS NOT BASED ON PROPER FACTS. CLIENT STILL DOES BUSINESS WITH ME. CUSTOMER NEVER NAMED ME IN COMPLAINT



## Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

### Disclosure 1 of 1

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES, INC.

**Allegations:** PSI CLIENTS ALLEGE COMMISSION OVERCHARGES AS A RESULT OF PURCHASING CLASS B MUTUAL FUND SHARES WITH CONTINGENT DEFERRED SALES CHARGES INSTEAD OF CLASS A SHARES PURSUANT TO VOLUME DISCOUNTS CLAIMED DAMAGES OF \$12,000.00

**Product Type:**

**Alleged Damages:** \$12,000.00

### Customer Complaint Information

**Date Complaint Received:** 10/09/1998

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** NOT PROVIDED  
CLIENTS WERE ERRONEOUS ON ALL CLAIMS. ALL INVESTMENTS & FEES WERE DISCUSSED AT LEANTH WITH CLIENTS



## Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Firm

**Employer Name:** MSDW

**Termination Type:** Discharged

**Termination Date:** 08/20/2004

**Allegations:** BROKER DISCLOSED AND THE FIRM IS INVESTIGATING A VIOLATION OF FIRM POLICY IN CONNECTION WITH CLIENTS SIGNING AND FINANCIAL ADVISOR UTILIZING A MORGAN STANLEY DISCRETIONARY AUTHORIZATION FORM WITHOUT FIRM APPROVAL.

**Product Type:** No Product

**Other Product Types:**

**Reporting Source:** Broker

**Employer Name:** MORGAN STANLEY

**Termination Type:** Discharged

**Termination Date:** 08/20/2004

**Allegations:** UTILIZATION OF FIRM TRADING AUTHORITY FORM WITH CLIENTS APPROVAL WITHOUT FIRM APPROVAL - NO CLIENT COMPLAINTS

**Product Type:** Equity Listed (Common & Preferred Stock)

**Other Product Types:**

**Broker Statement** N/A



## End of Report



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