

BrokerCheck Report

NANCY MARA EIDEN

CRD# 732723

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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.

NANCY M. EIDEN

CRD# 732723

Currently employed by and registered with the following Firm(s):**IA LPL FINANCIAL LLC**FORT LEE, NJ
CRD# 6413

Registered with this firm since: 02/14/2018

B LPL FINANCIAL LLCFORT LEE, NJ
CRD# 6413

Registered with this firm since: 02/14/2018

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
- 7 U.S. states and territories

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****This broker has passed:**

- 5 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 INVEST FINANCIAL CORPORATION**CRD# 12984
APPLETON, WI
04/2015 - 02/2018**B INVEST FINANCIAL CORPORATION**CRD# 12984
BASKING RIDGE, NJ
04/2015 - 02/2018**B LEUMI INVESTMENT SERVICES INC.**CRD# 105387
NEW YORK, NY
05/2001 - 01/2014

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	02/14/2018
B FINRA	General Securities Representative	Approved	02/14/2018
B FINRA	General Securities Sales Supervisor	Approved	02/14/2018
B FINRA	Registered Options Principal	Approved	02/14/2018

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	02/14/2018
B Florida	Agent	Approved	02/14/2018
B Indiana	Agent	Approved	12/14/2018
B Maine	Agent	Approved	01/26/2021
B Massachusetts	Agent	Approved	02/14/2018
B New Jersey	Agent	Approved	02/14/2018
IA New Jersey	Investment Adviser Representative	Approved	02/14/2018
B New York	Agent	Approved	02/14/2018

Branch Office Locations

Broker Qualifications



Employment 1 of 1, continued

LPL FINANCIAL LLC
FORT LEE, NJ

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

Principal/Supervisory Exams

Exam	Category	Date
B Registered Options Principal Examination	Series 4	01/02/2023
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Principal Examination	Series 24	02/27/2001
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	08/03/1988

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	06/20/1981

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/21/2014
B Uniform Securities Agent State Law Examination	Series 63	03/22/2001

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 04/2015 - 02/2018	INVEST FINANCIAL CORPORATION	12984	BASKING RIDGE, NJ
B 04/2015 - 02/2018	INVEST FINANCIAL CORPORATION	12984	BASKING RIDGE, NJ
B 05/2001 - 01/2014	LEUMI INVESTMENT SERVICES INC.	105387	NEW YORK, NY
B 05/1996 - 12/2000	INVEST FINANCIAL CORPORATION	12984	APPLETON, WI
B 02/1991 - 06/1995	S. B. CANTOR & CO., INC.	1384	NEW YORK, NY
B 12/1985 - 01/1989	CITICORP FINANCIAL SERVICES, INC.	14675	
B 04/1983 - 12/1985	ADVEST, INC.	10	
B 11/1982 - 04/1983	DRESKIN & COMPANY INC.	4187	
B 10/1982 - 11/1982	ROONEY, PACE INC.	6218	
B 06/1981 - 12/1981	SALOMON BROTHERS	740	

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
02/2018 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	FORT LEE, NJ, United States
05/2014 - Present	MEDITERRANEAN ADVISORS, LLC	FOUNDING MEMBER	N	CLOSTER, NJ, United States
04/2015 - 07/2018	AFFINITY FEDERAL CREDIT UNION	REGISTERED REPRESENTATIVE	Y	BASKING RIDGE, NJ, United States
04/2015 - 02/2018	INVEST FINANCIAL CORPORATION	REGISTERED REPRESENTATIVE	Y	BASKING RIDGE, NJ, 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. 10/15/2018 - MEDITERRANEAN ADVISORS LLC DBA NEI FINANCIAL ADVISORY SERVICES - DBA: NEI Financial Advisory Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Managing Member - Start Date: 05/05/2014 - 80 Hours Per Month/5 Hours During Securities Trading.
2. 10/15/2018 - NEI Financial Advisory Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 10/01/2018 - 80 Hours Per Month/8 Hours During Securities Trading.
3. 10/30/2018 - MEDITERRANEAN ADVISORS LLC - Investment Related - 10 Blackledge Court, Closter NJ 07624 - Business Entity For Tax/Investment Purposes Only - Started 05/01/2014 - 20 Hours Per Month/5 Hours During Securities Trading.
4. 11/28/2018 - Mediterranean Advisors LLC - Investment Related - Offsite, on premises of the client. - Other-strategic planning consulting-retail bank - Started 10/22/2018 - 5 Hours Per Month/1 Hour During Securities Trading.
5. 11/27/2020 - River Ridge Financial Advisory Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 11/9/2020 - 4 Hours Per Month/0 Hours During Securities Trading.
6. 01/24/2022 - First Step Alliance - Not Investment Related - Home Based - Outside/W-2 Employment - Start Date: 01/24/2022 - 5 Hours Per Month/0 Hours During Securities Trading - Website development, content creation for social media, and industry research for non-profit organization.

End of Report



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