

BrokerCheck Report

MARC WILLIAM EVANS

CRD# 859585

Report #72229-15968, data current as of Monday, February 02, 2015.

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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 <http://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.



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.

Thank you for using FINRA BrokerCheck.

**MARC W. EVANS**

CRD# 859585

Currently employed by and registered with the following Firm(s):**WUNDERLICH SECURITIES, INC.**

2431E 61 STREET
SUITE 300
TULSA, OK 74136
CRD# 2543

Registered with this firm since: 12/14/2012

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:**

- 2 Self-Regulatory Organizations
- 9 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****SANDERS MORRIS HARRIS INC.**

CRD# 20580
TULSA, OK
11/2005 - 12/2012

WACHOVIA SECURITIES, LLC

CRD# 19616
ST. LOUIS, MO
07/2003 - 11/2005

PRUDENTIAL SECURITIES INCORPORATED

CRD# 7471
NEW YORK, NY
07/1999 - 07/2003

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	2

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 <http://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 individual is currently registered with 2 SROs and is licensed in 9 U.S. states and territories through his or her employer.

This broker has 1 suspended registration/license.

[For an explanation on inactive and suspended registrations, click here.](#)

Employment 1 of 1

Firm Name: **WUNDERLICH SECURITIES, INC.**

Main Office Address: **6000 POPLAR AVENUE
SUITE 150
MEMPHIS, TN 38119**

Firm CRD#: **2543**

SRO	Category	Status	Date
FINRA	General Securities Representative	SUSPENDED	12/15/2014
NASDAQ Stock Market	General Securities Representative	APPROVED	12/14/2012

U.S. State/ Territory	Category	Status	Date
California	Agent	APPROVED	12/14/2012
Kansas	Agent	APPROVED	12/14/2012
Louisiana	Agent	APPROVED	12/14/2012
Missouri	Agent	APPROVED	12/14/2012
New York	Agent	APPROVED	12/14/2012
Oklahoma	Agent	APPROVED	12/14/2012
Oregon	Agent	APPROVED	12/14/2012
Washington	Agent	APPROVED	12/14/2012
Wyoming	Agent	APPROVED	12/14/2012

Broker Qualifications



Employment 1 of 1, continued Branch Office Locations

WUNDERLICH SECURITIES, INC.

2431E 61 STREET
SUITE 300
TULSA, OK 74136



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.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
National Commodity Futures Examination	Series 3	11/11/1983
General Securities Representative Examination	Series 7	11/18/1978

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	07/03/2013
Uniform Investment Adviser Law Examination	Series 65	01/19/2000

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
11/2005 - 12/2012	SANDERS MORRIS HARRIS INC.	20580	TULSA, OK
07/2003 - 11/2005	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO
07/1999 - 07/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
03/1998 - 07/1999	DAIN RAUSCHER INCORPORATED	31194	NEW YORK, NY
01/1998 - 03/1998	DAIN RAUSCHER INCORPORATED	7600	
05/1994 - 01/1998	RAUSCHER PIERCE REFSNES, INC.	6663	DALLAS, TX
05/1990 - 05/1994	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
05/1980 - 05/1990	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	NEW YORK, NY
11/1978 - 06/1980	DEAN WITTER REYNOLDS INC.	7556	

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 Dates	Employer Name	Employer Location
12/2012 - Present	WUNDERLICH SECURITIES	MEMPHIS, TN
11/2005 - 12/2012	SANDERS MORRIS HARRIS INC.	HOUSTON, TX
07/2003 - 11/2005	WACHOVIA SECURITIES LLC	TULSA, OK

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.

OWNER-JUBILEE LIQUORS.

Registration and Employment History



Other Business Activities, continued

JUBILEE LIQUORS RETAIL LIQUORS STORE-OWNER- SOLE PROPRIETORSHIP- NOT INVESTMENT-RELATED;
MAY 2001-10 HRS- 0 HRS DURING SECURITIES HOURS-OWNER I HAVE A MANAGER THAT RUNS ALL DAY TO
DAY ACTIVITIES **GLOBAL SAFETY LABS 4129 S 72ND EAST AVE TULSA OK 74145, NOT INVESTMENT
RELATED, FIRE SUPPRESSION CO, INVESTOR, STARTED 2-1-2007, 0 HRS MO, JUST AN INVESTOR.



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.
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.
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	2	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 involves (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 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 11/19/2014

Docket/Case Number: [2013038421801](#)

Employing firm when activity occurred which led to the regulatory action: SANDERS MORRIS HARRIS, INC.

Product Type: Other: PRIVATE SECURITIES WITH STOCK SHARES AND LIMITED-PARTNERSHIP INTERESTS

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, EVANS CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS FOR SELLING COMPENSATION WITHOUT HIS MEMBER FIRM'S PRIOR WRITTEN APPROVAL. THE FINDINGS STATED THAT EVANS FALSELY RESPONDED TO A QUESTION INQUIRING ABOUT HIS PARTICIPATION IN PRIVATE SECURITIES TRANSACTIONS ON HIS FIRM'S ANNUAL COMPLIANCE QUESTIONNAIRES. THE FINDINGS ALSO STATED THAT EVANS DID NOT DISCLOSE TO HIS FIRM, IN THE APPROPRIATE FORM AND MANNER REQUIRED, OF AN OUTSIDE BUSINESS ACTIVITY-SPECIFICALLY HIS



MEMBERSHIP ON A CORPORATION'S BOARD OF DIRECTORS.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

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:

11/19/2014

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
 Disgorgement
 Suspension
 Other: PLUS INTEREST ON DISGORGEMENT;

THESE SANCTIONS TAKE INTO ACCOUNT THE SUSPENSION AND FINE IMPOSED AGAINST EVANS BY THE OKLAHOMA DEPARTMENT OF SECURITIES.

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?

No

(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?



(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

(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?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	13 MONTHS
Start Date:	12/15/2014
End Date:	01/14/2016

**Monetary Sanction 1 of 2**

Monetary Related Sanction: Disgorgement
Total Amount: \$56,572.00
Portion Levied against individual: \$56,572.00

Payment Plan:**Is Payment Plan Current:**

Date Paid by individual: 12/08/2014

Was any portion of penalty waived? No

Amount Waived:**Monetary Sanction 2 of 2**

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$10,000.00
Portion Levied against individual: \$10,000.00

Payment Plan:**Is Payment Plan Current:**

Date Paid by individual: 12/08/2014

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Broker
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 11/19/2014
Docket/Case Number: [2013038421801](#)



Employing firm when activity occurred which led to the regulatory action: SANDERS MORRIS HARRIS, INC.

Product Type: Other: PRIVATE SECURITIES WITH STOCK SHARES AND LIMITED-PARTNERSHIP INTERESTS

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, EVANS CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS FOR SELLING COMPENSATION, TOTALING \$136,072 AND EVANS DID NOT SEEK OR OBTAIN WRITTEN APPROVAL FROM HIS MEMBER FIRM TO PARTICIPATE IN THE TRANSACTIONS. THE FINDINGS STATED THAT EVANS FALSELY RESPONDED IN THE NEGATIVE TO THE QUESTION IN ANNUAL QUESTIONNAIRES HE COMPLETED THAT AMONG OTHER THINGS, INQUIRED IF HE HAD PARTICIPATED IN ANY PRIVATE SECURITIES TRANSACTIONS OVER THE PAST YEAR. THE FINDINGS ALSO STATED THAT EVANS DID NOT DISCLOSE TO HIS FIRM IN THE FORM AND MANNER REQUIRED OF AN OUTSIDE BUSINESS ACTIVITY, HIS MEMBERSHIP ON THE BOARD OF DIRECTORS OF A CORPORATION.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 11/19/2014

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Disgorgement
Suspension
Other: PLUS INTEREST ON DISGORGEMENT; THESE SANCTIONS TAKE INTO ACCOUNT THE SUSPENSION AND FINE IMPOSED AGAINST EVANS BY THE OKLAHOMA DEPARTMENT OF SECURITIES.

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 13 MONTHS



Start Date: 12/15/2014

End Date: 01/14/2016

Monetary Sanction 1 of 2

Monetary Related Sanction: Disgorgement

Total Amount: \$56,572.00

Portion Levied against individual: \$56,572.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 2

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

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: OKLAHOMA DEPARTMENT OF SECURITIES

Sanction(s) Sought: Suspension



Date Initiated: 04/01/2013
Docket/Case Number: 13-024
Employing firm when activity occurred which led to the regulatory action: SANDERS MORRIS HARRIS
Product Type: No Product
Allegations: EVANS FAILED TO REPORT HIS MEMBERSHIP ON THE BOARD OF DIRECTORS OF GLOBAL SAFETY LABS, INC. TO HIS FIRM, IN VIOLATION OF FINRA RULE 3270, AND ON HIS FINRA UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER FORM (FORM U4) IN VIOLATION OF SECTION 1-406 OF THE ACT. EVANS FAILED TO PROVIDE NOTICE TO AND RECEIVE PERMISSION FROM HIS FIRM FOR PARTICIPATION IN AND RECEIPT OF COMPENSATION IN THE AMOUNT OF SEVENTY-NINE THOUSAND FIVE HUNDRED DOLLARS (\$79,500) FOR, PRIVATE GSL-ISSUED SECURITIES TRANSACTIONS, IN VIOLATION OF NATIONAL ASSOCIATION OF SECURITIES DEALERS RULE 3040
Current Status: Final
Resolution: 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: 04/01/2013
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
 Requalification
 Suspension
Sanction 1 of 1
Sanction Type: Suspension
Capacities Affected: ALL CAPACITIES
Duration: 3 MONTHS
Start Date: 04/15/2013
End Date: 07/15/2013
Requalification 1 of 1



Requalification Type: Requalification by Exam
Length of time given to requalify: 6 MONTHS
Type of exam required : SERIES 63
Has condition been satisfied: No
Monetary Sanction 1 of 1
Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$80,000.00
Portion Levied against individual: \$80,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No
Amount Waived:

Reporting Source: Broker
Regulatory Action Initiated By: STATE OF OKLAHOMA, DEPARTMENT OF SECURITIES
Sanction(s) Sought: Other: N/A
Date Initiated: 04/01/2013
Docket/Case Number: ODS FILE NO. 13-024
Employing firm when activity occurred which led to the regulatory action: SANDERS MORRIS HARRIS
Product Type: No Product
Allegations: EVANS FALIED TO REPORT HIS MEMBERSHIP ON THE BOARD OF DIRECTORS OF GLOBAL SAFETY LABS, INC. TO HIS FIRM, IN VIOLATION OF FINRA RULE 3270, AND ON HIS FINRA UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER FORM (FORM U4) IN



VIOLETION OF SECTION 1-406 OF THE ACT. EVANS FAILED TO PROVIDE NOTICE TO AND RECEIVE PERMISSION FROM HIS FIRM FOR PARTICIPATION IN AND RECEIPT OF COMPENSATION IN THE AMOUNT OF SEVENTY-NINE THOUSAND FIVE HUNDRED DOLLARS (\$79,500) FOR, PRIVATE GSL-ISSUED SECURITIES TRANSACTIONS, IN VIOLATION OF NATIONAL ASSOCIATION OF SECURITIES DEALERS RULE 3040

Current Status: Final

Resolution: Order

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: 04/01/2013

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

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 90 DAYS

Start Date: 04/15/2013

End Date: 07/15/2013

Requalification 1 of 1

Requalification Type: Requalification by Exam

Length of time given to requalify: 6 MONTHS

Type of exam required : SERIES 63

Has condition been satisfied: Yes

Monetary Sanction 1 of 1

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

Total Amount: \$80,000.00



Portion Levied against individual: \$80,000.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

End of Report



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