



## IAPD Report

# ERIK NMN MOSHOLT

CRD# 2016965

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### ERIK NMN MOSHOLT (CRD# 2016965)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/18/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	46 PEAKS INVESTMENT ADVISORY GROUP	CRD# 306902	02/19/2020

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	KB FINANCIAL PARTNERS, LLC	119166	PRINCETON, NJ	07/22/2005 - 03/04/2020
B	M HOLDINGS SECURITIES, INC.	43285	PRINCETON, NJ	04/02/2012 - 02/10/2020
IA	KINGSBRIDGE ADVISORS, LLC	126936	POINT PLEASANT BEACH, NJ	09/07/2006 - 06/06/2013

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **46 PEAKS INVESTMENT ADVISORY GROUP**  
Main Address: 760 NEWTOWN YARDLEY ROAD  
SUITE 114  
NEWTOWN, PA 18940  
Firm ID#: 306902

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	05/29/2024
IA	New Jersey	Investment Adviser Representative	Approved	03/12/2020
IA	Pennsylvania	Investment Adviser Representative	Approved	02/19/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	09/09/2022

### Branch Office Locations

**46 PEAKS INVESTMENT ADVISORY GROUP**  
760 NEWTOWN YARDLEY ROAD  
SUITE 114  
NEWTOWN, PA 18940




## Qualifications

### PASSED INDUSTRY EXAMS



This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	01/20/2004

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	12/18/1990

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/18/1994
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/11/1994

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

#### Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



### Registration & Employment History

#### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	07/22/2005 - 03/04/2020	KB FINANCIAL PARTNERS, LLC	CRD# 119166	PRINCETON, NJ
B	04/02/2012 - 02/10/2020	M HOLDINGS SECURITIES, INC.	CRD# 43285	PRINCETON, NJ
IA	09/07/2006 - 06/06/2013	KINGSBRIDGE ADVISORS, LLC	CRD# 126936	POINT PLEASANT BEAC NJ
B	08/08/2006 - 04/12/2012	AXA ADVISORS, LLC	CRD# 6627	PRINCETON, NJ
IA	03/17/2004 - 08/11/2004	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	06/01/2000 - 08/11/2004	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	01/01/1997 - 07/30/1999	PRUDENTIAL INVESTMENT MANAGEMENT SERVICES LLC	CRD# 18353	NEWARK, NJ
B	12/19/1990 - 01/01/1997	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY

#### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2020 - Present	46 Peaks Investment Advisory Group	Chief Investment Officer, Investment Advisory Representative	Y	Newtown, PA, United States
03/2012 - 02/2020	M HOLDING SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, United States
07/2005 - 02/2020	KB FINANCIAL PARTNERS, LLC	CHIEF INVESTMENT OFFICER/CHIEF COMPLIANCE OFFICER	Y	PRINCETON, NJ, United States



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	02/25/2004
<b>Docket/Case Number:</b>	C10040012
<b>Employing firm when activity occurred which led to the regulatory action:</b>	AXA ADVISORS, LLC
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	NASD RULES 1021, 2110 - RESPONDENT ACTED IN THE CAPACITY OF A PRINCIPAL WHILE NOT REGISTERED WITH NASD IN THAT CAPACITY AND ACTIVELY ENGAGED IN THE MANAGEMENT OF A MEMBER FIRM. SPECIFICALLY, RESPONDENT SUPERVISED THE FIRM'S REVIEW OF THIRD-PARTY MUTUAL FUNDS FOR POSSIBLE DISTRIBUTION, THE ONGOING REVIEW OF THE SELECTED FUNDS, AND THE DEVELOPMENT AND ONGOING REVIEW OF ASSET ALLOCATION SERVICES, PROPRIETARY MUTUAL FUNDS, AND THE FIRM'S FEE-BASED PRODUCTS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	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:**

02/25/2004

**Sanctions Ordered:**

Censure  
Monetary/Fine \$7,500.00

**Other Sanctions Ordered:**

**Sanction Details:**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MOSHOLT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS CENSURED AND FINED \$7,500, JOINTLY AND SEVERALLY.

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**Reporting Source:**

Individual

**Regulatory Action Initiated By:**

NASD

**Sanction(s) Sought:**

Censure

**Other Sanction(s) Sought:**

FINE

**Date Initiated:**

11/19/2003

**Docket/Case Number:**

[C10040013](#)

**Employing firm when activity occurred which led to the regulatory action:**

AXA ADVISORS, LLC

**Product Type:**

Mutual Fund(s)

**Other Product Type(s):**

**Allegations:**

NASD CONDUCT RULES 3010 AND 2110 - FROM IN OR AROUND JUNE 2000 THROUGH IN OR AROUND JULY 2003, THE FIRM, ACTING THROUGH ME, FAILED TO ESTABLISH, MAINTAIN AND ENFORCE A SUPERVISORY SYSTEM REASONABLY DESIGNED TO IDENTIFY ALL CATEGORIES OF OPPORTUNITIES FOR INVESTORS TO PURCHASE MUTUAL FUNDS AT NAV.

**Current Status:**

Final

**Resolution:**

Acceptance, Waiver & Consent(AWC)

**Resolution Date:**

02/25/2004

**Sanctions Ordered:**

Censure  
Monetary/Fine \$50,000.00

**Other Sanctions Ordered:**

**Sanction Details:**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, I CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF THE FINDINGS. I WAS CENSURED AND FINED \$50,000 JOINTLY AND SEVERALLY.

**Disclosure 2 of 2**



**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** NASD  
**Sanction(s) Sought:**  
**Other Sanction(s) Sought:**  
**Date Initiated:** 02/25/2004  
**Docket/Case Number:** [C10040013](#)  
**Employing firm when activity occurred which led to the regulatory action:** AXA ADVISORS, LLC  
**Product Type:** Mutual Fund(s)  
**Other Product Type(s):**  
**Allegations:** NASD RULES 2110, 3010 - A MEMBER FIRM, ACTING THROUGH MOSHOLT, FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE A SUPERVISORY SYSTEM REASONABLY DESIGNED TO IDENTIFY ALL CATEGORIES OF OPPORTUNITIES FOR INVESTORS TO PURCHASE MUTUAL FUNDS AT NET ASSET VALUE.  
**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:** 02/25/2004  
**Sanctions Ordered:** Censure  
Monetary/Fine \$50,000.00  
**Other Sanctions Ordered:**  
**Sanction Details:** WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MOSHALT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS CENSURED AND FINED \$50,000, JOINTLY AND SEVERALLY.

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NASD  
**Sanction(s) Sought:** Censure  
**Other Sanction(s) Sought:** FINE  
**Date Initiated:** 11/19/2003  
**Docket/Case Number:** C10040012



<b>Employing firm when activity occurred which led to the regulatory action:</b>	AXA ADVISORS, LLC
<b>Product Type:</b>	Mutual Fund(s)
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	VIOLETION OF NASD MEMBERSHIP AND REGISTRATION RULE 1021 AND CONDUCT RULE 2110 IN THAT, FROM IN OR AROUND JUNE 2000 THROUGH JULY 2003, WITHOUT BEING REGISTERED WITH NASD AS A PRINCIPAL, I ACTED IN THAT CAPACITY BY ACTIVELY ENGAGING IN A MANAGEMENT FUNCTION.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	02/25/2004
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$15,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	AXA ADVISORS WAS FINED \$15,000, OF WHICH \$7,500 WAS JOINT AND SEVERAL WITH ME.



## End of Report

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