



IAPD Report

PETER JOSEPH MARTIN

CRD# 2214580

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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.



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

PETER JOSEPH MARTIN (CRD# 2214580)

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 **02/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	EMPIRICAL ASSET MANAGEMENT, LLC	CRD# 155436	03/24/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
B	NATIXIS DISTRIBUTORS, L.P.	34754	BOSTON, MA	07/16/2009 - 12/31/2009
B	NATIXIS DISTRIBUTORS, L.P.	34754	BOSTON, MA	03/16/2006 - 05/18/2009
B	COLUMBIA FUNDS DISTRIBUTOR, INC.	30683	BOSTON, MA	06/26/1998 - 06/08/2004

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	1



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EMPIRICAL ASSET MANAGEMENT, LLC**
Main Address: 57 RIVER STREET
SUITE 301
WELLESLEY, MA 02481
Firm ID#: 155436

Regulator	Registration	Status	Date
IA Massachusetts	Investment Adviser Representative	Approved	03/24/2025

Branch Office Locations

EMPIRICAL ASSET MANAGEMENT, LLC
SCITUATE, MA



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	11/13/2008
Municipal Fund Securities Principal Examination (S51)	Series 51	04/29/2003
Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	05/15/2000

General Industry/Product Exams

Exam	Category	Date
National Commodity Futures Examination (S3)	Series 3	06/03/2010
General Securities Representative Examination (S7)	Series 7	10/12/1993
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/07/1992

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	03/20/2025
Uniform Securities Agent State Law Examination (S63)	Series 63	05/07/1992

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	07/16/2009 - 12/31/2009	NATIXIS DISTRIBUTORS, L.P.	CRD# 34754	BOSTON, MA
B	03/16/2006 - 05/18/2009	NATIXIS DISTRIBUTORS, L.P.	CRD# 34754	BOSTON, MA
B	06/26/1998 - 06/08/2004	COLUMBIA FUNDS DISTRIBUTOR, INC.	CRD# 30683	BOSTON, MA
B	10/22/1992 - 06/18/1998	FIDELITY INVESTMENTS INSTITUTIONAL SERVICES COMPANY, INC.	CRD# 17507	SMITHFIELD, RI
B	05/08/1992 - 09/21/1992	SCUDDER INVESTOR SERVICES, INC.	CRD# 754	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
01/2025 - Present	Empirical Asset Management, LLC	Managing Director	Y	Scituate, MA, United States
10/2023 - 12/2024	Unemployed	Unemployed	N	Boston, MA, United States
09/2020 - 09/2023	1251 Diffractive Managers Group	Managing Director Head of Distribution	Y	Boston, MA, United States
05/2009 - 08/2020	Alpha Simplex Group	Managing Director Head of Client Portfolio Management	Y	Cambridge, MA, United States

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.

- 1) Trefis; Investment-related; 125 High St, Boston, MA 02110; Analytics, educational, and investment research platform; Advisor; 05/13/2023; 8 hours per month; 4 during trading hours; Advise founder on business strategy
- 2) WorkSimplr; Not investment-related; 2318 Fairway Circle, Castle Rock, CO 80109; Educational organization; Board Member; 11/13/2023; 2 hours per month; 0 during trading hours; Provide project based temporary employment for mainly college level students



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	1

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	SUSPENSION, CIVIL PENALTY, DISGORGEMENT
Date Initiated:	02/09/2005
Docket/Case Number:	3-11816
Employing firm when activity occurred which led to the regulatory action:	COLUMBIA FUNDS DISTRIBUTOR, INC.
Product Type:	Other
Other Product Type(s):	UNSPECIFIED SECURITIES
Allegations:	SEC ADMINISTRATIVE PROCEEDINGS RELEASE NO. 8537, 51166, 2353, 26754 DATED FEBRUARY 9, 2005; THE COMPLAINT ALLEGED VIOLATIONS OF SECTION 17(A)(2) AND SECTION 17(A)(3) OF THE SECURITIES ACT; AIDED AND ABETTED VIOLATIONS OF SECTION 206(2) OF THE ADVISERS ACT AND SECTION 34(B) OF THE INVESTMENT COMPANY ; WHILE ACTING AS AN INVESTMENT ADVISER, ENGAGED IN TRANSACTIONS, PRACTICES, OR COURSES OF BUSINESS WHICH OPERATED OR WOULD OPERATE AS A FRAUD OR DECEIT UPON CLIENTS OR PROSPECTIVE CLIENTS. SPECIFICALLY, THE COMPANY PERMITTED SHORT-TERM AND EXCESSIVE TRADING, CONTRARY TO THE PROSPECTUS DISCLOSURE FOR THE FUNDS TRADED. IN ADDITION, THE COMPANY BREACHED ITS FIDUCIARY DUTY TO THE FUNDS WHEN IT FAILED TO DISCLOSE TO THE FUND BOARDS OR SHAREHOLDERS THE CONFLICTS OF INTEREST CREATED WHEN IT PLACED ITS OWN INTEREST IN ACCEPTING MARKET TIMING



MONEY TO GENERATE FEES ABOVE THE INTERESTS OF LONG-TERM SHAREHOLDERS, WHO WERE HARMED BY MARKET TIMING. MARTIN KNEW OR SHOULD HAVE KNOWN THAT HIS APPROVAL OF ARRANGEMENTS ALLOWING SHORT-TERM OR EXCESSIVE TRADING WOULD AID AND ABET OR CONTRIBUTE TO THE COMPANY' VIOLATIONS BY RENDERING THE FUND PROSPECTUSES ISSUED BY COLUMBIA MATERIALLY MISLEADING AND WOULD CAUSE THE COMPANY TO BREACH ITS FIDUCIARY DUTY TO ACT IN THE INTEREST OF FUND SHAREHOLDERS.

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: 02/09/2005

Sanctions Ordered: Cease and Desist/Injunction
Disgorgement/Restitution
Monetary/Fine \$50,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: PURSUANT TO SECTION 8A OF THE SECURITIES ACT, SECTION 203(K) OF THE ADVISERS ACT, AND SECTION 9(F) OF THE INVESTMENT COMPANY ACT, RESPONDENT MARTIN SHALL CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTIONS 17(A)(2) AND 17(A)(3) OF THE SECURITIES ACT, SECTION 206(2) OF THE ADVISERS ACT AND SECTION 34(B) OF THE INVESTMENT COMPANY ACT. PURSUANT TO SECTION 15(B)(6) OF THE EXCHANGE ACT, SECTION 203(F) OF THE ADVISERS ACT, AND SECTION 9(B) OF THE INVESTMENT COMPANY ACT, RESPONDENT MARTIN SHALL BE, AND HEREBY IS, SUSPENDED FOR A PERIOD OF TWELVE MONTHS FROM THE DATE OF THE ORDER FROM ASSOCIATION WITH ANY BROKER, DEALER, OR INVESTMENT ADVISER, AND IS PROHIBITED FROM SERVING OR ACTING AS AN EMPLOYEE, OFFICER, DIRECTOR, MEMBER OF AN ADVISORY BOARD, INVESTMENT ADVISER OR DEPOSITOR OF, OR PRINCIPAL UNDERWRITER FOR, A REGISTERED INVESTMENT COMPANY OR AFFILIATED PERSON OF SUCH INVESTMENT ADVISER, DEPOSITOR, OR PRINCIPAL UNDERWRITER FOR A PERIOD OF TWELVE MONTHS, EFFECTIVE ON THE DATE OF ENTRY OF THIS ORDER. IT IS FURTHER ORDERED THAT RESPONDENT MARTIN SHALL, WITHIN 30 DAYS OF THE ENTRY OF THIS ORDER, PAY A CIVIL MONEY PENALTY IN THE AMOUNT OF \$50,000 TO THE UNITED STATES TREASURY. IT IS FURTHER ORDERED THAT RESPONDENT MARTIN SHALL, WITHIN 30 DAYS OF ENTRY OF THE ORDER, PAY DISGORGEMENT IN THE AMOUNT OF \$10,000 TO THE UNITED STATES TREASURY.

Reporting Source: Firm

Regulatory Action Initiated By: SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought: Suspension



Other Sanction(s) Sought:	CEASE AND DESIST; DISGORGEMENT, CIVIL MONEY PENALTY
Date Initiated:	02/09/2005
Docket/Case Number:	3-11816
Employing firm when activity occurred which led to the regulatory action:	COLUMBIA FUNDS DISTRIBUTOR, INC.
Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	ON 2/9/2005, PURSUANT TO AN OFFER OF SETTLEMENT IN WHICH PETER MARTIN ("MARTIN") NEITHER ADMITTED NOR DENIED THE FINDINGS, THE SECURITIES AND EXCHANGE COMMISSION ENTERED AN ORDER AGAINST MARTIN FINDING THAT DURING AT LEAST 1998 TO 2003, MARTIN ON BEHALF OF COLUMBIA FUNDS DISTRIBUTOR, INC. NEGOTIATED OR APPROVED ARRANGEMENTS WITH AT LEAST 6 COMPANIES AND INDIVIDUALS, ALLOWING THEM TO ENGAGE IN FREQUENT SHORT-TERM TRADING IN AT LEAST 7 COLUMBIA MUTUAL FUNDS. THE COMMISSION FOUND THAT MARTIN WILLFULLY VIOLATED SECTION 17(A)(2) AND SECTION 17(A)(3) OF THE SECURITIES ACT OF 1933 AND THAT HE WILLFULLY AIDED AND ABETTED AND CAUSED COLUMBIA MANAGEMENT ADVISORS, INC.'S VIOLATION OF SECTION 206(2) OF THE INVESTMENT ADVISERS ACT OF 1940 AND SECTION 34(B) OF THE INVESTMENT COMPANY ACT OF 1940.
Current Status:	Final
Resolution:	Consent
Resolution Date:	02/09/2005
Sanctions Ordered:	Cease and Desist/Injunction Disgorgement/Restitution Monetary/Fine \$50,000.00 Suspension
Other Sanctions Ordered:	PURSUANT TO THE ORDER, MARTIN WAS ORDERED TO CEASE AND DESIST FROM FUTURE VIOLATIONS OF SECTIONS 17(A)(2) AND 17(A)(3) OF THE SECURITIES ACT OF 1933, SECTION 206(2) OF THE INVESTMENT ADVISERS ACT OF 1940 AND SECTION 34(B) OF THE INVESTMENT COMPANY ACT OF 1940.
Sanction Details:	PURSUANT TO THE ORDER, MARTIN WAS SUSPENDED FOR A PERIOD OF 12 MONTHS FROM THE DATE OF THE ORDER FROM ANY ASSOCIATION WITH ANY BROKER, DEALER, OR INVESTMENT ADVISER AND WAS PROHIBITED FROM SERVING OR ACTING AS AN EMPLOYEE, OFFICER, DIRECTOR, MEMBER OF AN ADVISORY BOARD, INVESTMENT ADVISER OR DEPOSITOR OF, OR PRINCIPAL UNDERWRITER FOR, A REGISTERED INVESTMENT COMPANY OR AFFILIATED PERSON OF SUCH INVESTMENT ADVISER, DEPOSITOR, OR PRINCIPAL UNDERWRITER FOR A PERIOD OF TWELVE MONTHS, EFFECTIVE ON THE DATE OF ENTRY OF THE ORDER. MARTIN WAS ALSO ORDERED TO PAY A CIVIL MONEY PENALTY IN THE AMOUNT OF \$50,000 AND DISGORGEMENT OF \$10,000.
.....	
Reporting Source:	Individual



Regulatory Action Initiated By:	SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	MARTIN WAS ORDERED TO CEASE AND DESIST FROM FUTURE VIOLATIONS OF SECTIONS 17(A)(2) AND 17(A)(3) OF THE SECURITIES ACT OF 1933, SECTION 206(2) OF THE INVESTMENT ADVISERS ACT OF 1940 AND SECTION 34(B) OF THE INVESTMENT COMPANY ACT OF 1940 AND ALSO ORDERED TO PAY A CIVIL PENALTY OF \$50,000 AND DISGORGEMENT OF \$10,000.
Date Initiated:	02/09/2005
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	COLUMBIA FUNDS DISTRIBUTOR, INC.
Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	THE SECURITIES AND EXCHANGE COMMISSION ENTERED AN ORDER (THE "ORDER") AGAINST PETER MARTIN FINDING THAT DURING AT LEAST 1998 TO 2003, MARTIN ON BEHALF OF COLUMBIA FUNDS DISTRIBUTOR, INC., NEGOTIATED OR APPROVED ARRANGEMENTS WITH AT LEAST SIX COMPANIES AND INDIVIDUALS, ALLOWING THEM TO ENGAGE IN FREQUENT SHORT-TERM TRADING IN AT LEAST SEVEN COLUMBIA FUNDS.
Current Status:	Final
Resolution:	Order
Resolution Date:	02/09/2005
Sanctions Ordered:	Cease and Desist/Injunction Disgorgement/Restitution Monetary/Fine \$50,000.00 Suspension
Other Sanctions Ordered:	DISGORGEMENT OF \$10,000.
Sanction Details:	MR. MARTIN WAS ORDERED TO CEASE AND DESIST FROM FUTURE VIOLATIONS OF SECTIONS 17(A)(2) AND 17(A)(3) OF THE SECURITIES ACT OF 1933, SECTION 206(2) OF THE INVESTMENT ADVISERS ACT OF 1940 AND SECTION 34(B) OF THE INVESTMENT COMPANY ACT OF 1940 AND WAS SUSPENDED FOR A PERIOD OF 12 MONTHS FROM THE DATE OF THE ORDER FROM ANY ASSOCIATION WITH ANY BROKER, DEALER, OR INVESTMENT ADVISER AND WAS PROHIBITED FROM SERVING OR ACTING AS AN EMPLOYEE, OFFICER, DIRECTOR, MEMBER OF AN ADVISORY BOARD, INVESTMENT ADVISER OR DEPOSITOR OF, OR PRINCIPAL UNDERWRITER FOR, A REGISTERED INVESTMENT COMPANY OR AFFILIATED PERSON OF SUCH INVESTMENT ADVISER, DEPOSITOR OR PRINCIPAL UNDERWRITER FOR A PERIOD OF 12 MONTHS, EFFECTIVE ON THE DATE OF ENTRY OF THE ORDER.



End of Report

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