User Guidance

www.adviserinfo.sec.gov

IAPD Report

SCOTT ALAN TANKER

CRD# 2220198

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

SCOTT ALAN TANKER (CRD# 2220198)

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 **04/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PEAK BROKERAGE SERVICES, LLC	CRD# 157045	05/15/2017
IA	BLACKRIDGE ASSET MANAGEMENT, LLC	CRD# 277085	06/08/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	NEXT FINANCIAL GROUP, INC.	46214	MAPLE SHADE, NJ	09/01/2011 - 05/17/2017
IA	NEXT FINANCIAL GROUP, INC.	46214	MAPLE SHADE, NJ	09/01/2011 - 05/17/2017
IA	WALNUT STREET SECURITIES, INC.	15840	MAPLE SHADE, NJ	07/26/2007 - 09/01/2011

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

Employment 1 of 2

Firm Name: **PEAK BROKERAGE SERVICES, LLC**

Main Address: 1070 EAST INDIANTOWN ROAD
SUITE 208 - 210
JUPITER, FL 33477-9999

Firm ID#: 157045

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	05/15/2017
B	Colorado	Agent	Approved	12/03/2021
B	Florida	Agent	Approved	05/22/2017
B	Michigan	Agent	Approved	09/21/2023
B	New Jersey	Agent	Approved	05/15/2017
B	New York	Agent	Approved	05/15/2017
B	Ohio	Agent	Approved	12/23/2020
B	Pennsylvania	Agent	Approved	05/15/2017
B	South Carolina	Agent	Approved	02/20/2020

Branch Office Locations

Mt. Laurel, NJ

Employment 2 of 2

Firm Name: **BLACKRIDGE ASSET MANAGEMENT, LLC**

Main Address: 1070 E. INDIANTOWN ROAD
SUITE 208-210

Qualifications

JUPITER, FL 33477
Firm ID#: 277085

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	06/08/2017

Branch Office Locations

BLACKRIDGE ASSET MANAGEMENT, LLC
Mt. Laurel, NJ

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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/13/1992

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/31/1992

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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
B	09/01/2011 - 05/17/2017	NEXT FINANCIAL GROUP, INC.	CRD# 46214	MAPLE SHADE, NJ
IA	09/01/2011 - 05/17/2017	NEXT FINANCIAL GROUP, INC.	CRD# 46214	MAPLE SHADE, NJ
IA	07/26/2007 - 09/01/2011	WALNUT STREET SECURITIES, INC.	CRD# 15840	MAPLE SHADE, NJ
B	09/15/2003 - 09/01/2011	WALNUT STREET SECURITIES, INC.	CRD# 15840	MAPLE SHADE, NJ
IA	01/31/2011 - 08/31/2011	PFG FINANCIAL ADVISORS	CRD# 116021	MAPLE SHADE, NJ
B	05/14/2001 - 05/23/2003	CBIZ FINANCIAL SOLUTIONS, INC.	CRD# 16678	CLEVELAND, OH
IA	08/22/2000 - 05/23/2003	CBIZ FINANCIAL SOLUTIONS, INC.	CRD# 16678	PLYMOUTH MEETING, I
B	10/25/1994 - 05/01/2001	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	06/07/1994 - 09/15/1994	UNUM SALES CORPORATION	CRD# 5406	PORTLAND, ME
B	07/15/1992 - 12/22/1993	WALL STREET INVESTOR SERVICES	CRD# 10012	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
05/2017 - Present	BLACKRIDGE ASSET MANAGEMENT LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	Jupiter, FL, United States
05/2017 - Present	Peak Brokerages Services, LLC	Registered Representative	Y	Palm Beach Gardens, FL, United States
09/2011 - 05/2017	NEXT FINANICAL GROUP INC	REGISTERED REPRESENTATIVE	Y	MAPLE SHADE, 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.

1) Business Activity: Merchant Services Consultant; Business Entity: Tanker Consulting Services; Address: NJ; Duties of Position: Review/analyze merchant services statements; Title: Owner; Start Date: 2006; Approx. # of hours per months spent on activity: 10-12; Approx. # of hours spent during trading hours: 2

2) TANKER CONSULTING GROUP LLC
POSITION: insurance agent NATURE: insurance-Insurance (PROVIDE PRODUCT LINES- Fixed Annuities; Life/Health; Long-Term Care; plus disability ins INVESTMENT RELATED: No NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 6 START DATE: 11/30/1980
ADDRESS: Maple Shade, NJ
DESCRIPTION: sell insurance

3) TANKER CONSULTING GROUP
POSITION: investment advisor representative NATURE: pension plan consulting INVESTMENT RELATED: Yes NUMBER OF HOURS: 50 SECURITIES TRADING HOURS: 40 START DATE: 04/10/1979
ADDRESS: Maple Shade, NJ
DESCRIPTION: work mostly with 401k plans. consult, communicate and be a liaison for client

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: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/21/1993

Docket/Case Number: C05930061

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

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 09/21/1993

Sanctions Ordered: Censure
Monetary/Fine $2,500.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement ON SEPTEMBER 21, 1993, DISTRICT NO. 5 NOTIFIED SCOTT A. TANKER THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO.

C05930061
WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED $2,500 -
(ARTICLE III, SECTIONS 1 AND 28 OF THE RULES OF FAIR PRACTICE -
IN CONTRAVENTION OF THE BOARD OF GOVERNORS FREE-RIDING AND
WITHHOLDING INTERPRETATION, RESPONDENT TANKER PURCHASED
SHARES
OF A NEW ISSUE THAT TRADED AT A PREMIUM IN THE IMMEDIATE AFTER
MARKET; AND, ENGAGED IN A PRIVATE SECURITIES TRANSACTION
THROUGH ANOTHER MEMBER FIRM WITHOUT HAVING PROVIDED PRIOR
WRITTEN NOTICE TO AND HAVING RECEIVED APPROVAL FROM HIS
MEMBER
FIRM).
$2,500.00 PAID ON 10/18/93 INVOICE #93-05-789

Reporting Source:	Firm
Regulatory Action Initiated By:	Not Provided
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/21/1993
Docket/Case Number:	C05930061
Employing firm when activity occurred which led to the regulatory action:	NOBLE LOWNDES
Product Type:	
Other Product Type(s):	
Allegations:	IT WAS ALLEDGED THAT HE HAD VIOLATED THE NASD FREE-RIDING AND WITHHOLDING RULE
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/21/1993
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	THE MATTER WAS SETTLED WITHOUT ADMITTING OR DENYING THE ALLEGATIONS AND 2,500.00 FINE WAS PAID FOR MR TANKER BY WALL STREET INVESTOR SERVICES
Firm Statement	IN 1/92, MR. TANKERS EMPLOYEE NOBLE LOWNDES & WALL STREET INVESTOR SERVICES ENTERED INTO A JOINT AGREEMENT. WALL STREET FILED A U4 FORM ON HIS BEHALF, APPROXIMATELY 3 WEEK AFTER HIS FORM WAS FILED, HE PURCHED AN IPO WHICH SUBSEQUENTLY WENT HOT. HE WAS NOT REGISTERED AT THAT TIME. NASD TOOK POSITION THAT HE WAS SUBJECT TO FREE RIDING & WITHHOLD ING RULE. TO AVOID LENGHTY PROCEEDINGS, HE SIGNED LETHER OF ACCEPTANCE, WAIVER & CONSENT. WALL STREET INVESTOR SERVICES PAID THE FINE OF $2500.00

Reporting Source:	Individual
Regulatory Action Initiated By:	NOT PROVIDED
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	SIGNED A LETTER OF ACCEPTANCE THAT DID NOT ADMIT GUILT AND A $2,500 FINE WAS PAID ON MY BEHALF BY MY BROKER DEALER.
Date Initiated:	09/21/1993
Docket/Case Number:	C05930061
Employing firm when activity occurred which led to the regulatory action:	NOBLE LOWNDES
Product Type:	Insurance
Other Product Type(s):	
Allegations:	IT WAS ALLEGED THAT I HAD VIOLATED THE NASD FREE RIDING AND WITHHOLDING RULE.
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/21/1993
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	THE MATTER WAS SETTLED WITHOUT ADMITTING OR DENYING THE ALLEGATIONS AND $2,500.00 FINE WAS PAID FOR MR. TANKER BY WALL STREET INVESTOR SERVICES.
Broker Statement	IN JANUARY 1992, MY EMPLOYER NOBLE LOWNDES (BENEFIT CONSULTING FIRM) ENTERED INTO A JOINT MARKETING AGREEMENT WITH WALL STREET INVESTOR SERVICES (BROKER DEALER) TO PROVIDE MUTUAL FUNDS TO OUR CLIENTS. IN THAT REGARD, WALL STREET INVESTOR SERVICES FILED A FORM U-4 ON MY BEHALF IN JANUARY. THE FOLLOWING SIX TO NINE MONTHS WAS PRIMARILY SPENT ON TRAINING STAFF AND FURTHER STRUCTURING THE PROGRAM. I DID NOT SIT FOR THE SERIES 6 EXAM UNTIL 7/92. NEVERTHELESS, APPROXIMATELY 3 WEEKS AFTER THE FORM WAS FILED, I PURCHASED AN INITIAL PUBLIC OFFERING (IPO) THAT SUBSEQUENTLY WENT HOT. AT THAT TIME I WAS NOT REGISTERED AND WAS NOT AWARE OF ANY RESTRICTIONS N THAT REGARD. HOWEVER, BECAUSE A FORM U-4 WAS FILED ON MY BEHALF, THE NASD TOOK THE POSITION THAT I WAS AN ASSOCIATED PERSON AND THEREFORE SUBJECT TO THE FREE-RIDING AND WITHHOLDING RULE. IN ORDER TO AVOID ANY LENTHLY PROCEEDINGS, I SIGNED A LETTER OF ACCEPTANCE, WAIVER AND CONSENT AGREEING TO A FINE OF $2,500, WHICH WAS PAID BY WALL STREET INVESTOR SERVICERS. AS A FINAL COMMENT, I DID NOT PURCHASE THE IPO FOR ANY OTHER REASON OTHER THAN PURE INVESTMENT WITH ABSOLUTELY NO

INTENTION TO VIOLATE ANY SECURITIES LAW. IF I HAD KNOWN, I
WOULD NOT HAVE MADE THIS INVESTMENT.

End of Report

This page is intentionally left blank.