



IAPD Report

EDWIN ROCKEFELLER BALDRIGE III

CRD# 2295239

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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

EDWIN ROCKEFELLER BALDRIGE III (CRD# 2295239)

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 **07/03/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MODERA WEALTH MANAGEMENT, LLC	CRD# 155649	07/03/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	BALDRIGE ASSET MANAGEMENT	108396	ALLENTOWN, PA	12/15/2000 - 06/30/2023
B	OCTAGON TRADING GROUP, LLC	45500	NEW YORK, NY	12/21/2000 - 04/25/2003
B	ALEXANDER, WESCOTT, & CO., INC.	35935	UTICA, NY	11/12/1997 - 12/31/1998

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

Employment 1 of 1

Firm Name: **MODERA WEALTH MANAGEMENT, LLC**
Main Address: 56 JEFFERSON AVENUE
WESTWOOD, NJ 07675
Firm ID#: 155649

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	07/03/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	07/05/2023

Branch Office Locations

MODERA WEALTH MANAGEMENT, LLC
7540 WINDSOR DRIVE
ALLENTOWN, PA 18195




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, 1 general industry/product exam, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	01/13/1998

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	12/02/1992

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/05/1993

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	12/15/2000 - 06/30/2023	BALDRIGE ASSET MANAGEMENT	CRD# 108396	ALLENTOWN, PA
B	12/21/2000 - 04/25/2003	OCTAGON TRADING GROUP, LLC	CRD# 45500	NEW YORK, NY
B	11/12/1997 - 12/31/1998	ALEXANDER, WESCOTT, & CO., INC.	CRD# 35935	UTICA, NY
B	06/02/1993 - 11/10/1997	VALLEY NATIONAL INVESTMENTS, INC.	CRD# 16715	BETHLEHEM, PA
B	02/17/1993 - 05/10/1993	ANGLO-AMERICAN INVESTOR SERVICES CORP.	CRD# 14278	CHARLOTTESVILLE, VA

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
07/2023 - Present	MODERA WEALTH MANAGEMENT, LLC	WEALTH MANAGER/PRINCIPAL	Y	WESTWOOD, NJ, United States
02/1999 - 07/2023	BALDRIGE ASSET MANAGEMENT	PRESIDENT/OWNER	Y	ALLENTOWN, PA, United States
09/1982 - 10/2019	COMMODITY EXCHANGE INC	OTHER - FLOOR TRADER (SELF EMPLOYED)	N	NEW YORK, NY, 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.) NAME OF OBA: HAWK MOUNTAIN SANCTUARY; ADDRESS OF OBA: 1700 HAWK MOUNTAIN ROAD, KEMPTON, PA; NATURE: BOARD TREASURER; INVESTMENT RELATED: NO; TITLE WITH OBA: BOARD MEMBER/TREASURER; DUTIES: REVIEW AUDITS, APPROVE BUDGETS, MEET WITH ENDOWMENT MANAGER; START DATE: 11/30/2021; APPROX. NUMBER OF HOURS/MONTH: 2; APPROX. NUMBER OF HOURS/MONTH DURING TRADING HOURS: 0;

(2.) NAME OF OBA: SUSTAINABLE FOOD ALLIANCE; ADDRESS OF OBA: 7540 WINDSOR DRIVE, SUITE 205, ALLENTOWN, PA 18195; NATURE: BOARD MEMBER/TREASURER; INVESTMENT RELATED: NO; TITLE WITH OBA: BOARD MEMBER/TREASURER; DUTIES: APPROVING GRANTS, ACCEPTING DONATIONS; START DATE: 06/01/2013; APPROX. NUMBER OF HOURS/MONTH: 1; APPROX. NUMBER OF HOURS/MONTH DURING TRADING HOURS: 1



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:	Individual
Regulatory Action Initiated By:	COMMODITY EXCHANGE, INC.
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	FINED \$7000
Date Initiated:	01/01/1986
Docket/Case Number:	79-131-85
Employing firm when activity occurred which led to the regulatory action:	MEMBER OF THE COMMODITY EXCHANGE
Product Type:	No Product
Other Product Type(s):	
Allegations:	NONCOMPETITIVE TRADING, PREARRANGED TRADING, FAILURE TO CARD TRADES PROPERTY
Current Status:	Final
Resolution:	Decision
Resolution Date:	08/21/1986
Sanctions Ordered:	Monetary/Fine \$7,000.00
Other Sanctions Ordered:	
Sanction Details:	\$7,000 FINE BY THE EXCHANGE
Broker Statement	NUMEROUS INCIDENTS WERE RECORDED ON MY TRADING CARDS AFTER TRADING HOURS BY MY CLERK UNBEKNOWST TO ME. THE TRADES DID



NOT INVOLVE ANY MONEY BUT WERE WRITTEN BY MY CLERK FOR SOME UNKNOWN REASON FOR THE BENEFIT OF ANOTHER BROKER WHO WAS ALSO FOUND IN VIOLATION OF MANY RULES USING OTHER TRADERS AS WELL, THESE TRADE WERE WRITTEN BY THE CLERK AND NOT DETECTED BY ME UNTIL THE COMPLIANCE DEPARTMENT REQUESTED THESE TRANSACTIONS. THE CLERK WAS IMMEDIATELY DISMISSED BY ME AND I WAS NOTIFIED THAT I WAS RESPONSIBLE FOR MY CLERKS ACTIONS AND THEREFORE HELD ACCOUNTABLE. PLEASE FIND ENCLOSED COPY OF NOTICE OF FINAL ACTION BY COMEX.



End of Report

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