



IAPD Report

JAMES A MOORE

CRD# 2624578

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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

JAMES A MOORE (CRD# 2624578)

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 **12/03/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PARK AVENUE SECURITIES LLC	CRD# 46173	05/03/1999
IA	PARK AVENUE SECURITIES LLC	CRD# 46173	01/16/2003

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	GUARDIAN INVESTOR SERVICES CORPORATION	6635	NEW YORK, NY	06/30/1995 - 05/03/1999

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
Customer Dispute	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 9 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PARK AVENUE SECURITIES LLC**
Main Address: 10 HUDSON YARDS
NEW YORK, NY 10001
Firm ID#: 46173

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	05/03/1999
B	FINRA	Corporate Securities Represent	Approved	06/16/2000
B	Delaware	Agent	Approved	11/27/2023
IA	Delaware	Investment Adviser Representative	Approved	11/27/2023
B	Florida	Agent	Approved	04/03/2007
B	Maryland	Agent	Approved	01/13/2022
B	Massachusetts	Agent	Approved	04/18/2024
IA	Massachusetts	Investment Adviser Representative	Approved	04/24/2024
B	New Jersey	Agent	Approved	05/03/1999
IA	New Jersey	Investment Adviser Representative	Approved	01/16/2003
B	New York	Agent	Approved	05/03/1999
B	North Carolina	Agent	Approved	01/03/2011
B	Pennsylvania	Agent	Approved	01/10/2006



Qualifications

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	07/16/2012
B South Carolina	Agent	Approved	09/21/2018

Branch Office Locations

PARK AVENUE SECURITIES LLC
50 TICE BLVD
SUITE 280
WOODCLIFF LAKE, NJ 07677

PARK AVENUE SECURITIES LLC
HILLSBOROUGH, 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, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Corporate Securities Limited Representative Examination (S62)	Series 62	06/15/2000
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/29/1995

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	01/09/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/14/1996

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	06/30/1995 - 05/03/1999	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	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
10/2018 - Present	GUARDIAN LIFE INSURANCE	AGENT	Y	HILLSBOROUGH, NJ, United States
10/2018 - Present	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	WOODCLIFF LAKE, NJ, United States
10/2018 - Present	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	WOODCLIFF LAKE, NJ, United States
10/2018 - Present	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	HILLSBOROUGH, NJ, United States
07/1993 - Present	ELIZABETH HIGH SCHOOL	OTHER - ASS'T FOOTBALL COACH	N	ELIZABETH, NJ, United States
07/2015 - 09/2018	GUARDIAN LIFE INSURANCE CO OF AMERICA	AGENT	Y	CRANFORD, NJ, United States
07/2015 - 09/2018	PARK AVENUE SECURITIES LLC	REGISTERED REP	Y	CRANFORD, NJ, 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. M&M Real Estate Holdings, LLC-We purchase, repair and sell residential properties,
 Start: 01/01/2010,
 Address: 822 Atkinson Circle, Hillsborough, NJ 08844,
 5 bus hrs per month,
 Investment related,

2. Non Profit Trustee - Hillsborough Jr Raiders Sports-Oversee the operations of the organization.,
 Start: 07/01/2011,
 Address: PO Box 7735, Hillsborough, NJ 08844,
 Hrs per month - Tot/Bus: 10/4,
 Not investment related,

3. Broker-Broker life insurance, Disability Insurance, Long Term care insurance and fixed annuities from companies other than Guardian or its affiliates,.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Start: 04/01/2011,

Address: 822 Atkinson Circle, Hillsborough, NJ 08844,

Hrs per month - tot/bus: 20/10,

Investment related,

>10% annual compensation,

4. STRATEGIC WEALTH PARTNERS, INC-Broker of Insurance products,

Start: 01/01/2004,

Address: 822 Atkinson Circle, Hillsborough, NJ 08844,

10 bus hrs per month,

Investment related,

5. Somerset County 200 Club Board Member-Board Member - Involved in the annual operation and purpose of club.,

Start: 01/01/2020,

Address: PO Box 179 Somerville, NJ 08876,

1 total business hour per month,

Not investment related,

6. Planning Alliance Consulting (Valmax Consulting LLC) -Business Consulting for Businesses and estates,

Start: 07/01/2022,

Address: 822 Atkinson Circle, Hillsborough, NJ 08844,

10 total hours per month; 10 during securities trading hours,

Not investment related,

Less than 10% annual compensation,

7. Eastpoint Homeowners Association - Appointed Officer Vice President,

Start: 11/01/2023,

Address: 822 Atkinson Circle, Hillsborough, NJ 08844,

1 total hour per month; 0 during securities trading hours,

Not investment related,

No annual compensation



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
Customer Dispute	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: NJ INSURANCE COMMISSION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/19/1987

Docket/Case Number:

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

Product Type: No Product

Other Product Type(s):

Allegations: MISREPRESENTATION ON MY APPLICATION.

Current Status: Final

Resolution: Other

Resolution Date: 10/19/1987

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details: \$500.00 FINE PAID IN FULL IN NOVEMBER OF 1996. NO PORTION WAS WAIVED.



Broker Statement

UNTIL THE N.J. DEPT. OF INSURANCE CONTACTED ME ABOUT A MISSTATEMENT ON MY APPLICATION. I THOUGHT THIS HAD BEEN EXPUNGED FROM MY RECORD. HOWEVER, I WAS WRONG AND AM IN THE PROCESS OF CORRECTING IT.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GUARDIAN INVESTOR SERVICE CORPORATION

Allegations: CLIENT ALLEGED UNAUTHORIZED ALLOCATION OF FUNDS WITHIN VARIABLE LIFE INSURANCE POLICIES. TOTAL LOSS WAS \$7805.38, OF WHICH I WAS 60% RESPONSIBLE, THE CASE WAS SPLIT 60/40 BETWEEN MYSELF AND ANOTHER REG. REP.

Product Type:

Alleged Damages: \$7,805.38

Customer Complaint Information

Date Complaint Received: 09/04/1998

Complaint Pending? No

Status: Settled

Status Date: 09/18/1998

Settlement Amount: \$7,805.38

Individual Contribution Amount: \$4,683.23

Broker Statement

ACCOUNTS WERE CORRECTED
MY ASSOCIATE AND MYSELF WERE ASKED TO DESIGN & IMPLEMENT AND PROVIDE A FUNDING VEHICLE FOR A NON QUALIFIED DEFERRED COMPENSATION PLANS THE FUNDING VEHICLE THAT WAS CHOSEN WAS VARIABLE LIFE INSURANCE. IT WAS OUR UNDERSTANDING THAT THE CLIENT WANTED THE ASSETS PLACED IN THE PARK AVENUE STOCK FUND. THEY LATER INFORMED US THAT THEY WANTED THE MONEY IN A CASH ACCOUNT UNTIL THE COMMITTEE COULD DECIDE ON AN ALLOCATION AT A LATER DATE. THIS IS THE MISUNDERSTANDING THAT CAUSED THE CLAIM.



End of Report

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