



IAPD Report

MATTHEW J NIELSEN

CRD# 2762423

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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

MATTHEW J NIELSEN (CRD# 2762423)

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 **05/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EMERSON EQUITY LLC	CRD# 130032	03/21/2025
IA	EMERSON EQUITY LLC	CRD# 130032	03/31/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	KINGSWOOD CAPITAL PARTNERS, LLC	288898	New York, NY	05/19/2023 - 03/25/2025
IA	KINGSWOOD WEALTH ADVISORS, LLC	288792	New York, NY	01/03/2022 - 03/25/2025
B	BENCHMARK INVESTMENTS, LLC	103792	New York, NY	05/21/2020 - 05/19/2023

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
Customer Dispute	1
Judgment/Lien	6



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

Employment 1 of 1

Firm Name: **EMERSON EQUITY LLC**
Main Address: 155 BOVET ROAD, SUITE 725
SAN MATEO, CA 94402
Firm ID#: 130032

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/21/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	03/21/2025
B	Arizona	Agent	Approved	06/23/2025
B	California	Agent	Approved	03/21/2025
B	Connecticut	Agent	Approved	03/21/2025
B	Florida	Agent	Approved	05/22/2025
B	Indiana	Agent	Approved	03/21/2025
B	Massachusetts	Agent	Approved	05/27/2025
B	Nevada	Agent	Approved	09/18/2025
B	New Jersey	Agent	Approved	03/21/2025
IA	New Jersey	Investment Adviser Representative	Approved	03/31/2025
B	New York	Agent	Approved	03/21/2025
B	Pennsylvania	Agent	Approved	03/21/2025



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	03/21/2025
IA Texas	Investment Adviser Representative	Restricted Approval	01/02/2026

Branch Office Locations

EMERSON EQUITY LLC
40 Wall Street
28th Floor
New York, NY 10005



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
General Securities Representative Examination (S7)	Series 7	10/28/1998
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/26/1996

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	08/23/2006
Uniform Securities Agent State Law Examination (S63)	Series 63	06/28/1996

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	05/19/2023 - 03/25/2025	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	New York, NY
IA	01/03/2022 - 03/25/2025	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	New York, NY
B	05/21/2020 - 05/19/2023	BENCHMARK INVESTMENTS, LLC	CRD# 103792	New York, NY
IA	05/21/2020 - 01/03/2022	BENCHMARK ADVISORY SERVICES, LLC	CRD# 305662	NEW YORK, NY
IA	06/19/2015 - 05/28/2020	STONECREST ADVISORS, INC.	CRD# 142095	RIDGEWOOD, NJ
B	04/17/2015 - 05/26/2020	STONECREST CAPITAL MARKETS, INC.	CRD# 39616	RIDGEWOOD, NJ
IA	07/01/2011 - 03/17/2015	CAPITAL GUARDIAN WEALTH MANAGEMENT, LLC	CRD# 131631	RIDGEWOOD, NJ
B	07/01/2011 - 03/17/2015	CAPITAL GUARDIAN, LLC	CRD# 137919	NEW YORK, NY
B	01/12/2011 - 07/05/2011	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	RIDGEWOOD, NJ
IA	01/03/2011 - 07/05/2011	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	RIDGEWOOD, NJ
B	05/25/2010 - 12/31/2010	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	RIDGEWOOD, NJ
IA	05/25/2010 - 12/31/2010	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	RIDGEWOOD, NJ
IA	07/27/2006 - 05/28/2010	GENWORTH FINANCIAL ADVISERS CORPORATION	CRD# 105644	RIDGEWOOD, NJ
B	10/24/2005 - 05/28/2010	GENWORTH FINANCIAL SECURITIES CORPORATION	CRD# 10358	RIDGEWOOD, NJ
B	01/10/2005 - 10/24/2005	C. J. M. PLANNING CORP.	CRD# 5698	POMPTON LAKES, NJ
B	08/19/1997 - 01/10/2005	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 22121	SCOTTSDALE, AZ



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	07/23/2002 - 04/05/2004	NEW CENTURY FINANCIAL GROUP, LLC	CRD# 104553	PRINCETON, NJ
B	06/27/1996 - 08/25/1997	EQ FINANCIAL CONSULTANTS, INC.	CRD# 6627	NEW YORK, NY
B	06/27/1996 - 08/25/1997	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
03/2025 - Present	Emerson Equity LLC	Registered Representative	Y	San Mateo, CA, United States
05/2023 - 03/2025	KINGSWOOD CAPITAL PARTNERS, LLC	Mass Transfer	Y	New York, NY, United States
01/2022 - 03/2025	Kingswood Wealth Advisors LLC	Investment Advisor	Y	Stockbridge, GA, United States
05/2020 - 01/2022	BENCHMARK ADVISORY SERVICES, LLC	INVESTMENT ADVISOR	Y	Stockbridge, GA, United States
05/2020 - 01/2022	BENCHMARK INVESTMENTS, INC	REGISTERED REPRESENTATIVE	Y	Stockbridge, GA, United States
06/2015 - 05/2020	STONECREST ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	Austin, TX, United States
04/2015 - 05/2020	STONECREST CAPITAL MARKETS, INC.	REGISTERED REPRESENTATIVE	Y	Austin, TX, 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) MATTHEW NIELSEN-INVESTMENT RELATED, 80 BUCKTHORN COURT, PARAMUS, NJ 07652, PRO ATHLETE DISABILITY INSURANCE, SELF EMPLOYED-OWNER, PROVIDE PROFESSIONAL ATHLETE DISABILITY INSURANCE TO PROFESSIONAL ATHLETES, PRIMARILY THOROUGHBRED JOCKEYS, WRITE LESS THAN 10 CASES PER YEAR., 5 HRS MONTHLY, 5 HRS DURING SECURITIES TRADING HOURS, 1999
- 2) NIELSEN CAPITAL, INC.-NOT INVESTMENT RELATED, 80 BUCKTHORN COURT, PARAMUS, NJ 07652, CORPORATION



Registration & Employment History



OTHER BUSINESS ACTIVITIES

FOR ME TO RUN MY PERSONAL AND BUSINESS EXPENSES THROUGH., OWNER, I TRACK BUSINESS INCOME AND EXPENSES FOR PERSONAL USE., 5 HRS PER MONTH, 0 HRS DURING SECURITIES TRADING HOURS., 2023

3) SILVER FLOWER STABLES LLC-NOT INVESTMENT RELATED, 80 BUCKTHRON COURT, PARAMUS, NJ 07652, BREED AND RACE THOROUGHBRED HORSES, PARTNER, CURRENTLY BREED TWO THOROUGHBRED HORSES AND DECIDE WHETHER TO RACE OR SELL THE BABIES, CURRENTLY OWN ONE 3 YEAR OLD HORSE THAT RACES., 20 HRS MONTHLY, 5 HRS DURING SECURITIES TRADING HOURS, 2023

4) EMERSON FAMILY OFFICE-INVESTMENT RELATED, 40 WALL STREET, 28TH FLOOR, NEW YORK, NY 10005, DBA MARKETING VEHICLE THROUGH WHICH SECURITIES RELATED BUSINESS IS DONE THROUGH EMERSON EQUITY LLC., TEM MEMBER, IDENTIFY AND EVALUATE INVESTMENT OPPORTUNITES IN THE BEST INTERES OF MY CLIENTS, 20 HRS MONTH, 1 HR PER DAY DURING SECURITIES TRADING HRS, 03/2025



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
Customer Dispute	1
Judgment/Lien	6

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:	Firm
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE
Allegations:	MISMANAGEMENT OF CLAIMANT'S ACCOUNT
Product Type:	Money Market Fund
Alleged Damages:	\$500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-04143
Date Notice/Process Served:	11/10/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/08/2014
Monetary Compensation Amount:	\$131,635.00
Individual Contribution Amount:	\$7,500.00
Firm Statement	ARBITRATION WITH ROYAL ALLIANCE IS STILL PENDING. ONLY GENWORTH

HAS BEEN SETTLED.
.....

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: GENWORTH FINANCIAL SECURITIES CORP.

Allegations: CLIENT ALLEGES HE WAS THE VICTIM OF UNSANCTIONED, UNSUITABLE, AND FRAUDULENT PRIVATE INVESTMENT CAUSING HIM TO SUFFER LOSSES.

Product Type: Other: PRIVATE INVESTMENT

Alleged Damages: \$500,000.00

Alleged Damages Amount Explanation (if amount not exact): CLIENT ALLEGES COMPENSATORY DAMAGES IN EXCESS OF \$500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-04143

Date Notice/Process Served: 11/11/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/08/2014

Monetary Compensation Amount: \$131,635.00

Individual Contribution Amount: \$7,500.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GENWORTH FINANCIAL SECURITIES CORP AND ROYAL ALLIANCE

Allegations: CLIENT ALLEGES HE WAS VICTIM OF UNSANCTIONED, UNSUITABLE AND FRAUDULENT PRIVATE INVESTMENT CAUSING HIM TO SUFFER LOSSES. MISMANAGEMENT OF CLAIMANTS ACCOUNT

Product Type: Money Market Fund
Other: PRIVATE INVESTMENT

Alleged Damages: \$500,000.00

Alleged Damages Amount Explanation (if amount not exact): CLIENT ALLEGES COMPENSATORY DAMAGES IN EXCESS OF \$500,000.00

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-04143

Date Notice/Process Served: 11/11/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/08/2014

Monetary Compensation Amount: \$131,635.00

Individual Contribution Amount: \$7,500.00

Broker Statement

ON NOVEMBER 11, 2011, A CUSTOMER ARBITRATION CLAIM WAS COMMENCED AGAINST GENWORTH FINANCIAL SECURITIES CORPORATION AND ROYAL ALLIANCE ASSOCIATES, INC. SEEKING MONETARY DAMAGES IN THE AMOUNT OF \$500,000.00 (CASE NO. 11-04143). THE COMPLAINT ALLEGED MISMANAGEMENT OF CLAIMANT'S ACCOUNT. BY WAY OF SETTLEMENT AGREEMENT DATED DECEMBER 08, 2014, RESPONDENTS AGREED TO PAY CLAIMANT THE SUM OF \$131,635.00. MR. NIELSEN WAS PERSONALLY RESPONSIBLE FOR PAYMENT OF \$7,500.00 OF THIS AMOUNT TO CLAIMANT. ROYAL ALLIANCE SETTLED AND AGREED TO PAY THE CLAIMANT THE SUM OF \$14,000.00. MR. NIELSEN DENIES ALL ALLEGATIONS OF ANY WRONGDOING.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 6

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$218,130.50
Judgment/Lien Type: Tax
Date Filed with Court: 08/17/2021
Date Individual Learned: 02/01/2022
Type of Court: State Court
Name of Court: Bergen
Location of Court: New Jersey
Docket/Case #: 2021132223
Judgment/Lien Outstanding? Yes

Disclosure 2 of 6

Reporting Source: Individual
Judgment/Lien Holder: Bergen County Clerk
Judgment/Lien Amount: \$43,634.41
Judgment/Lien Type: Tax
Date Filed with Court: 03/13/2014
Date Individual Learned: 06/29/2020
Type of Court: State Court
Name of Court: Bergen County
Location of Court: Bergen County
Docket/Case #: n/a
Judgment/Lien Outstanding? Yes
Broker Statement Mr. Nielsen unable to obtain case/docket number.

Disclosure 3 of 6

Reporting Source: Individual
Judgment/Lien Holder: Bergen Country Clerk
Judgment/Lien Amount: \$56,234.47
Judgment/Lien Type: Tax
Date Filed with Court: 10/22/2018
Date Individual Learned: 06/26/2020
Type of Court: State Court



Name of Court: Bergen County
Location of Court: Bergen County
Docket/Case #: n/a
Judgment/Lien Outstanding? Yes
Broker Statement Mr. Nielsen is unable to locate the case number.

Disclosure 4 of 6

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$45,241.66
Judgment/Lien Type: Tax
Date Filed with Court: 04/26/2018
Date Individual Learned: 11/24/2018
Type of Court: State Court
Name of Court: Bergen County Court
Location of Court: Bergon County, New Jersey
Docket/Case #: BK02924PG0073
Judgment/Lien Outstanding? Yes
Broker Statement Mr. Nielsen reached an installment agreement with the Internal Revenue Service and is currently making monthly payments to reduce outstanding balance.

Disclosure 5 of 6

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$78,023.46
Judgment/Lien Type: Tax
Date Filed with Court: 06/06/2016
Date Individual Learned: 11/24/2018
Type of Court: State Court
Name of Court: Bergen County Court
Location of Court: Bergen County, NJ
Docket/Case #: BK02299PG0122
Judgment/Lien Outstanding? Yes
Broker Statement Mr. Nielsen reached an installment agreement with the Internal Revenue Service and is currently making monthly payments to reduce outstanding balance.

Disclosure 6 of 6

Reporting Source: Individual
Judgment/Lien Holder: INTERNAL REVENUE SERVICE



Judgment/Lien Amount: \$98,976.00

Judgment/Lien Type: Tax

Date Filed with Court: 03/17/2010

Date Individual Learned: 03/17/2010

Type of Court: Federal Court

Name of Court: NJ DIVISION OF TAXATION

Location of Court: Trenton, New Jersey

Judgment/Lien Outstanding? Yes

Broker Statement MR. NIELSEN IS CURRENTLY PAYING INSTALLMENTS TO REDUCE OUTSTANDING BALANCE. MR. NIELSEN CURRENTLY HAS AN OFFER IN COMPROMISE WITH THE IRS FOR A TOTAL OF APPROXIMATELY \$125,000 PAYABLE OVER THE NEXT 2-3 YEARS. ACCORDING TO MR. NIELSEN THE IRS INCREASED THE JUDGEMENT FROM \$32,064 TO \$98,000.00.



End of Report

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