



## IAPD Report

# RIKIN KAUSHIK PATEL

CRD# 4669036

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 9



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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

### RIKIN KAUSHIK PATEL (CRD# 4669036)

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 **01/02/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	EMERSON EQUITY LLC	CRD# 130032	03/18/2025
<b>IA</b>	EMERSON EQUITY LLC	CRD# 130032	03/27/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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>B</b>	KINGSWOOD CAPITAL PARTNERS, LLC	288898	Fairfield, NJ	02/22/2023 - 03/25/2025
<b>IA</b>	KINGSWOOD WEALTH ADVISORS, LLC	288792	Fairfield, NJ	01/05/2022 - 03/25/2025
<b>B</b>	BENCHMARK INVESTMENTS, LLC	103792	Fairfield, NJ	05/22/2020 - 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?

**No**



## 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 **51** 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>B</b>	FINRA	General Securities Representative	Approved	03/18/2025
<b>B</b>	Alabama	Agent	Approved	03/18/2025
<b>B</b>	Alaska	Agent	Approved	03/18/2025
<b>B</b>	Arizona	Agent	Approved	03/18/2025
<b>B</b>	Arkansas	Agent	Approved	11/04/2025
<b>B</b>	California	Agent	Approved	03/18/2025
<b>B</b>	Colorado	Agent	Approved	03/18/2025
<b>B</b>	Connecticut	Agent	Approved	03/18/2025
<b>B</b>	Delaware	Agent	Approved	03/18/2025
<b>B</b>	District of Columbia	Agent	Approved	10/28/2025
<b>B</b>	Florida	Agent	Approved	03/18/2025
<b>B</b>	Georgia	Agent	Approved	03/18/2025
<b>B</b>	Hawaii	Agent	Approved	03/18/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Idaho	Agent	Approved	03/18/2025
<b>B</b> Illinois	Agent	Approved	03/18/2025
<b>B</b> Indiana	Agent	Approved	03/18/2025
<b>B</b> Iowa	Agent	Approved	03/18/2025
<b>B</b> Kansas	Agent	Approved	03/18/2025
<b>B</b> Kentucky	Agent	Approved	03/18/2025
<b>B</b> Louisiana	Agent	Approved	03/18/2025
<b>B</b> Maine	Agent	Approved	03/18/2025
<b>B</b> Maryland	Agent	Approved	03/18/2025
<b>B</b> Massachusetts	Agent	Approved	03/18/2025
<b>B</b> Michigan	Agent	Approved	03/18/2025
<b>B</b> Minnesota	Agent	Approved	03/18/2025
<b>B</b> Mississippi	Agent	Approved	03/18/2025
<b>B</b> Missouri	Agent	Approved	03/18/2025
<b>B</b> Montana	Agent	Approved	02/11/2026
<b>B</b> Nebraska	Agent	Approved	03/18/2025
<b>B</b> Nevada	Agent	Approved	03/18/2025
<b>B</b> New Hampshire	Agent	Approved	03/18/2025
<b>B</b> New Jersey	Agent	Approved	03/18/2025



### Qualifications

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	03/27/2025
B New Mexico	Agent	Approved	03/18/2025
B New York	Agent	Approved	03/18/2025
B North Carolina	Agent	Approved	03/26/2025
B North Dakota	Agent	Approved	03/18/2025
B Ohio	Agent	Approved	03/18/2025
B Oklahoma	Agent	Approved	03/18/2025
B Oregon	Agent	Approved	03/18/2025
B Pennsylvania	Agent	Approved	03/18/2025
B Rhode Island	Agent	Approved	03/18/2025
B South Carolina	Agent	Approved	03/18/2025
B South Dakota	Agent	Approved	03/18/2025
B Tennessee	Agent	Approved	03/18/2025
B Texas	Agent	Approved	03/18/2025
IA Texas	Investment Adviser Representative	Restricted Approval	01/02/2026
B Utah	Agent	Approved	03/19/2025
B Vermont	Agent	Approved	10/27/2025
B Virginia	Agent	Approved	03/18/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Washington	Agent	Approved	03/18/2025
<b>B</b> West Virginia	Agent	Approved	11/06/2025
<b>B</b> Wisconsin	Agent	Approved	10/29/2025
<b>B</b> Wyoming	Agent	Approved	10/27/2025

### Branch Office Locations

**EMERSON EQUITY LLC**  
310 Passaic Ave.  
Ste 215  
Fairfield, NJ 07004



## 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 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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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> General Securities Representative Examination (S7)	Series 7	09/17/2003
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	12/18/2014
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	08/15/2013
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### 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	02/22/2023 - 03/25/2025	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	Fairfield, NJ
IA	01/05/2022 - 03/25/2025	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	Fairfield, NJ
B	05/22/2020 - 05/19/2023	BENCHMARK INVESTMENTS, LLC	CRD# 103792	Fairfield, NJ
IA	05/22/2020 - 01/03/2022	BENCHMARK ADVISORY SERVICES, LLC	CRD# 305662	Fairfield, NJ
IA	06/30/2016 - 05/22/2020	SA STONE INVESTMENT ADVISORS INC.	CRD# 174182	Fairfield, NJ
B	03/21/2012 - 05/22/2020	SA STONE WEALTH MANAGEMENT INC.	CRD# 18456	Fairfield, NJ
IA	08/25/2015 - 06/30/2016	STERNE AGEE ASSET MANAGEMENT, INC.	CRD# 130888	FAIRFIELD, NJ
B	01/25/2011 - 04/03/2012	GENWORTH FINANCIAL SECURITIES CORPORATION	CRD# 10358	LYNDHURST, NJ
B	02/06/2004 - 12/31/2010	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	LYNDHURST, NJ
B	10/07/2003 - 02/27/2004	KIMBERLY CAPITAL CORP.	CRD# 41470	GLEN ROCK, NJ

### 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/Investment Advisor Rep.	Y	San Mateo, CA, United States
01/2001 - Present	KAUSHIK PATEL LLC	SENIOR ACCOUNTANT	N	CLIFTON, NJ, United States
05/2023 - 03/2025	KINGSWOOD CAPITAL PARTNERS, LLC	Mass Transfer	Y	Fairfield, NJ, United States
02/2023 - 03/2025	Kingswood Capital Partners, LLC	Registered Rep	Y	Stockbridge, GA, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2022 - 03/2025	Kingswood Wealth Advisors LLC	Investment Advisor	Y	Stockbridge, GA, United States
05/2020 - 03/2025	BENCHMARK INVESTMENTS, INC	REGISTERED REPRESENTATIVE	Y	Stockbridge, GA, United States
05/2020 - 01/2022	BENCHMARK ADVISORY SERVICES, LLC	INVESTMENT ADVISOR	Y	Stockbridge, GA, United States
06/2016 - 05/2020	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	Mass Transfer	Y	BIRMINGHAM, AL, United States
03/2012 - 05/2020	STERNE AGEE FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	BIRMINGHAM, AL, 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) SOLAR TWINS RENEWABLES LLC-NOT INVESTMENT RELATED, 355 GLENWOOD ROAD, RIDGEWOOD, NJ 07450, ENTITY HOLDS SOLAR PROJECTS I HAVE PURCHASED, MANAGING MEMBER, MANAGE THE SOLAR PROJECTS THAT IM INVESTING INTO, 0 HRS MONTHLY, 0 HRS DURING SECURITIES TRADING HOURS, 11/2024
- 2) TWIN FUNDING LLC-NOT INVESTMENT RELATED, 355 GLENWOOD ROAD, RIDGEWOOD, NJ 07450, THIS ENTITY NEED TO BE CREATD FOR JP MORGAN TO CREATE A CREDIT FACILITY FOR MU PREMIUM FINANCED LIFE INSURANCE POLICY. THE CREDIT LINE IS AGAINST THE CASH VALUE OF THE POLICY, SINGLE MEMBER ENTITY OWNED BY MY TRUST, MAKING SURE MY PREMIUM IS FUNDED EACH YEAR, 0 HRS MONTHLY, 0 HOURS DURING SECURITIES TRADING HOURS, 09/2024
- 3) TWIN ADVISORY SERVICES INC-NOT INVESTMENT RELATED, 310 PASSAIC AVE., STE 215, FAIRFIELD, NJ ENTITY USED TO TRANSFER 1099 COMMISSIONS TO CLOSELY HELD MY S-CORP. THE BUSINESS ALSO REPORTS INCOME FROM LIFE INSURANCE AND ACCOUNTING SERVICES., PRESIDENT, REPORTING OF BUSINESS INCOME AND EXPENSES. 1 HR A MONTH, 0 HRS MONTHLY DURING SECURITIES TRADING HOURS, 01/2017
- 4) KAUSHIK PATEL LLC-NOT INVESTMENT RELATED, 310 PASSAIC AVE., STE 215, FAIRFIELD, NJ 07004, ACCOUNTING AND TAX SERVICES FOR INDIVIDUALS AND BUSINESSES, MANAGING MEMBER, MANAGE THE ACCOUNTING AND TAX PRACTICE, 01/2002
- 5) CYOUR NJ LLC-NOT INVESTMENT RELATED, 97 TRUMAN DRIVE, WOODBRIDGE, NJ 07075, CANNABIS CULIVATION, MEMBER-LIMITED, PASSIVE INVESTOR IN A COMPNAY THAT ACQUIRED A CULTIVATION LICENSE IN NEW JERSEY, 0 HRS MONTHLY, 0 HRS DURING SECURITIES TRADING HOURS, 12/2021
- 6) PARKVIEW INVESTMENT ADVISORS-INVESTMENT RELATED, 50 CRAIGWOOD ROAD, STE 205, SOUTH PLAINFIELD, NJ 07080, VENTURE CAPITAL, PRINCIPAL, REVIEW THE OVERALL STRUCTURE OF THE VENTURE FUND, 3 HRS MONTHLY, 0 HRS DURING SECURITIES TRADING HOURS, 05/2019
- 7) DOUBLE VISION VENTURES, LLC-INVESTMENT RELATED, 310 PASSAIC AVE., STE 215 FAIRFIELD NJ 07004, PROVIDE SALES, INVESTOR, OPERATIONS AND STRATIGIC SUPPORT FOR SOLIDARIS CAPITAL, LLC, SOLIDARIS SOLAR VENTURES, LLC, SMR CAPITAL, AVONDALE LLC, PRESIDENT, 100% OWNER, STRATEGIC GUIDANCE ACROSS SALES, INVESTOR RELATIONS, OPERATIONS, AND ORGANIZATIONAL GROWTH SUPPORT SERVICCES ARE DESIGNED TO EVERAGE INDUSTRY EXPERIENCE AND NETWORK TO CREATE STRATEGIC OPPORTUNITIES., 6 HRS MONTHLY, 2 HRS DURING SECURITIES TRADING HOURS, 04/2025
- 8) SMR CAPITAL, LLC-INVESTMENT RELATED, 24 HANDLER COURT, BELLE MEAD, NJ 08520, VENTURE CAPITAL, PRINCIPAL, PROVIDE STRATEGY FOR DISTRIBUTION, INVESTOR RELATIONS, AND OPERATIONAL OVERSIGHT, 1 HOUF



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

MONTHLY, 0 HOURS DURING SECURITIES TRADING HOURS, 04/2025

9) TWYNING LLC-INVESTMENT RELATED, 838 WALKER ROAD, SUITE 21-2, DOVER, DE 19904, MERCHANT CREDIT ADVANCES, OPERATIONS/ACCOUNTING, PROVIDE ACCOUNTING AND TAX SUPPORT ORGANIZATION, 5 HRS MONTHLY, 0 HRS DURING SECURITIES TRADING HOURS, 03/2024

10) AVONDALE LLC-INVESTMENT RELATED, PO BOX 1867 WEST PALM BEACH, FL 33402, MERCHANT CREDIT ADVANCES, OPERATIONS/ACCOUNTING/INVESTOR RELATIONS, PROVIDE ACCOUNTING, INVESTOR RELATIONS, AND TAX SUPPORT FOR THE ORGANIZATION, 5 HRS MONTHLY, 0 HRS DURING SECURITIES TRADING HOURS, 04/2025

10) EMERSON FAMILY OFFICE-INVESTMENT RELATED, 310 PASSAIC AVENUE, STE 215 FAIRFIELD, NJ 07004, DBA MARKETING VEHICLE THROUGH WHICH SECURITIES RELATED BUSINESS IS DONE THROUGH EMERSON EQUITY LLC., TEAM MEMBER, IDENTIFY AND EVALUATE INVESTMENT OPPORTUNITIES IN THE BEST INTEREST OF MY CLIENTS., 20 HRS PER MONTH, 1 HR PER DAY DURING SECURITIES TRADING HOURS., 03/2025



## End of Report

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