



IAPD Report

MARTIN JOEL ERZINGER

CRD# 713979

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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

MARTIN JOEL ERZINGER (CRD# 713979)

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 **05/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SANCTUARY ADVISORS	CRD# 285428	01/13/2017
B	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	03/15/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	SANCTUARY SECURITIES LLC	144091	Denver, CO	03/06/2012 - 05/05/2017
IA	SANCTUARY WEALTH ADVISORS LLC	150212	GREENWOOD, CO	02/23/2012 - 01/25/2017
B	MORGAN STANLEY SMITH BARNEY	149777	DENVER, CO	06/01/2009 - 06/28/2011

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
Criminal	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 4 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **SANCTUARY ADVISORS**
Main Address: 1901 WAZEE STREET
UNIT 607
DENVER, CO 80202
Firm ID#: 285428

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	06/18/2020
IA Colorado	Investment Adviser Representative	Approved	01/13/2017

Branch Office Locations

SANCTUARY ADVISORS
1901 WAZEE STREET
UNIT 607
DENVER, CO 80202

Employment 2 of 2

Firm Name: **GENEOS WEALTH MANAGEMENT, INC.**
Main Address: 9635 MAROON CIRCLE
SUITE 100
ENGLEWOOD, CO 80112
Firm ID#: 120894

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	03/15/2017
B FINRA	General Securities Sales Supervisor	Approved	03/15/2017
B Arizona	Agent	Approved	03/22/2017
B Colorado	Agent	Approved	03/15/2017



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	03/15/2017
B Pennsylvania	Agent	Approved	05/12/2017

Branch Office Locations

GENEOS WEALTH MANAGEMENT, INC.
MCGREGOR SQUARE
1901 WAZEE STREET UNIT 607
DENVER, CO 80202






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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	11/29/1984

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	04/16/1984
 General Securities Representative Examination (S7)	Series 7	08/16/1980

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/20/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/05/1980

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	03/06/2012 - 05/05/2017	SANCTUARY SECURITIES LLC	CRD# 144091	Denver, CO
IA	02/23/2012 - 01/25/2017	SANCTUARY WEALTH ADVISORS LLC	CRD# 150212	GREENWOOD, CO
B	06/01/2009 - 06/28/2011	MORGAN STANLEY SMITH BARNEY	CRD# 149777	DENVER, CO
IA	06/01/2009 - 06/28/2011	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	DENVER, CO
IA	02/23/2001 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	DENVER, CO
B	11/11/1994 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	DENVER, CO
B	08/19/1980 - 11/23/1994	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	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
03/2017 - Present	GENEOS WEALTH MANAGEMENT INC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
09/2016 - Present	Sanctuary Advisors	DBA / RIA Owner	Y	Denver, CO, United States
03/2012 - 03/2017	SANCTUARY SECURITIES, LLC	Founding Partner/Registered Representative	Y	SAN FRANCISCO, CA, United States
07/2011 - 02/2017	SANCTUARY WEALTH ADVISORS LLC	Founding Partner/Investment Adviser Representative	Y	SAN FRANCISCO, CA, 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) DBA/RIA SANCTUARY ADVISORS - Investment related business located at branch location. 2) Independent Rep with various insurance carriers for fixed insurance business. 3) ECONOMIC CLUB OF COLORADO-BOARD MEMBER. 4) CENTRAL CITY OPERA-BOARD MEMBER. 5) ZING LLC-REGISTERED AGENT. 6) CENTRAL CITY OPERA MANAGEMENT CO-CONSULTANT TO BOARD.



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
Criminal	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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/26/2011
Docket/Case Number:	2010023960401
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY SMITH BARNEY
Product Type:	No Product
Allegations:	ARTICLE V, SECTION 2 OF FINRA BY-LAWS, FINRA RULE 2010: ERZINGER FAILED TO PROVIDE HIS MEMBER FIRM WITH THE INFORMATION NECESSARY TO AMEND HIS FORM U4 ON A TIMELY BASIS TO DISCLOSE MATERIAL INFORMATION.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/26/2011



Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ALL CAPACITIES
Duration: 30 DAYS
Start Date: 09/06/2011
End Date: 10/05/2011

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$20,000.00
Portion Levied against individual: \$20,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 09/09/2011
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, ERZINGER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$20,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 DAYS. THE SUSPENSION IS IN EFFECT SEPTEMBER 6, 2011 THROUGH OCTOBER 5, 2011.

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated: 08/26/2011



Docket/Case Number: 2010023960401

Employing firm when activity occurred which led to the regulatory action: MORGAN STANLEY SMITH BARNEY

Product Type: No Product

Allegations: MR. ERZINGER FAILED TO PROVIDE HIS MEMBER FIRM WITH THE INFORMATION NECESSARY TO AMEND HIS FORM U4 ON A TIMELY BASIS TO DISCLOSE MATERIAL INFORMATION. ARTICLE V SECTION 2 OF FINRA BY-LAWS, FINRA RULE 2010.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 08/26/2011

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 30 DAYS

Start Date: 09/06/2011

End Date: 10/05/2011

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$20,000.00

Portion Levied against individual: \$20,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 09/09/2011

Was any portion of penalty waived? No

Amount Waived:



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	DISTRICT COURT, EAGLE COUNTY, COLORADO
Location of Court:	EAGLE COUNTY, COLORADO
Docket/Case #:	D0192010CR000230
Charge Date:	08/10/2010
Charge(s) 1 of 1	
Formal Charge(s)/Description:	LEAVING THE SCENE OF AN ACCIDENT CAUSING SERIOUS BODILY INJURY
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	N/A
Disposition of charge:	Amended
Date of Amended Charge:	10/21/2010
Charge was Amended or reduced to:	LEAVING THE SCENE OF AN ACCIDENT CAUSING SERIOUS BODILY INJURY; CARELESS DRIVING; LEAVING THE SCENE OF AN ACCIDENT CAUSING INJURY.
Amended No of Counts:	3
Amended Charge:	ONE FELONY AND TWO MISDEMEANOR COUNTS
Amended Plea:	PLEA OF GUILTY TO RELATED MISDEMEANORS ONLY.
Disposition of Amended Charge:	FELONY DISMISSED BY DA ON 12/16/2010. GUILTY PLEA ENTERED AS TO MISDEMEANOR CHARGES.
Current Status:	Final
Status Date:	12/16/2010
Disposition Date:	12/16/2010
Sentence/Penalty:	SEE COMMENT SECTION BELOW.
Broker Statement	THE FINANCIAL ADVISOR WAS CHARGED WITH A FELONY AND TWO RELATED MISDEMEANORS, RELATED TO VEHICULAR OFFENSES RESULTING IN SERIOUS BODILY INJURY TO ANOTHER. DURING FINAL SENTENCING, THE FELONY CHARGE WAS DISMISSED; THE INDIVIDUAL PLED GUILTY TO THE TWO MISDEMEANOR CHARGES OF CARELESS DRIVING RESULTING IN INJURY AND LEAVING THE SCENE OF AN ACCIDENT RESULTING IN INJURY. THE COURT SENTENCE INCLUDED ONE YEAR OF PROBATION WITH THE SPECIFIC TERM AND CONDITION OF PROHIBITION AGAINST DRIVING A CAR; A CHARITABLE DONATION OF \$1,300; A 90 DAY SUSPENDED JAIL SENTENCE THAT WAS SUSPENDED ON THE CONDITION THAT THE INDIVIDUAL COMPLETE EITHER (1) 60 DAYS OF WORK RELEASE IN THE EAGLE COUNTY JAIL OR (2) 45 DAYS OF CHARITABLE WORK WHICH



WOULD REQUIRE HIM TO TAKE A LEAVE OF ABSENCE FROM WORK AND HOME PURSUANT TO A PLAN ACCEPTED BY THE COURT. WITH THE COURT'S APPROVAL, THE INDIVIDUAL CHOSE TO COMPLETE THE 45 DAYS OF CHARITABLE WORK AWAY FROM WORK AND HOME. THE COURT ALSO ORDERED, AS A CONDITION OF PROBATION, THAT THE FINANCIAL ADVISOR "FILE ALL DOCUMENTS ASSOCIATED WITH ANY PROFESSIONAL ACTIVITY IN WHICH [HE IS] ENGAGED THAT DEMONSTRATES THAT [HE HAS] BEEN CHARGED WITH A FELONY AND THAT [HE HAS] ENTERED PLEAS TO SOMETHING OTHER THAN A FELONY."



End of Report

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