



IAPD Report

ERIC NEUWIRTH

CRD# 736175

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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

ERIC NEUWIRTH (CRD# 736175)

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 **12/23/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/23/2019
IA	THE PINNACLE FINANCIAL GROUP	CRD# 164395	10/08/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	LPL FINANCIAL LLC	6413	MELVILLE, NY	05/23/2019 - 08/09/2023
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	HAUPPAUGE, NY	08/15/2008 - 06/04/2019
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	HAUPPAUGE, NY	08/15/2008 - 06/04/2019

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	2
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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **THE PINNACLE FINANCIAL GROUP**
Main Address: 9 SOUTH LONG BEACH ROAD
ROCKVILLE CENTRE, NY 11570
Firm ID#: 164395

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	10/08/2025

Branch Office Locations

THE PINNACLE FINANCIAL GROUP
11864 GARDENIA AVENUE
NAPLES, FL 34120

Employment 2 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	05/23/2019
B California	Agent	Approved	05/23/2019
B Connecticut	Agent	Approved	07/30/2021
B Florida	Agent	Approved	05/23/2019
B New Jersey	Agent	Approved	05/23/2019
B New York	Agent	Approved	05/23/2019



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	07/09/2019
B Pennsylvania	Agent	Approved	05/23/2019
B South Carolina	Agent	Approved	05/23/2019
B Texas	Agent	Approved	05/23/2019
B Virginia	Agent	Approved	05/23/2019

Branch Office Locations

LPL FINANCIAL LLC
9 S. LONG BEACH RD.
ROCKVILLE CENTRE, NY 11570

LPL FINANCIAL LLC
NAPLES, FL



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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	06/20/1981
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/19/1999
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B Uniform Securities Agent State Law Examination (S63)	Series 63	08/19/1988
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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	05/23/2019 - 08/09/2023	LPL FINANCIAL LLC	CRD# 6413	MELVILLE, NY
B	08/15/2008 - 06/04/2019	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	HAUPPAUGE, NY
IA	08/15/2008 - 06/04/2019	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	HAUPPAUGE, NY
B	01/01/2008 - 08/20/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	HUNTINGTON, NY
B	04/16/2004 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	HUNTINGTON, NY
B	10/01/2001 - 04/19/2004	NORTH RIDGE SECURITIES CORP.	CRD# 27098	MELVILLE, NY
B	10/07/1999 - 10/09/2001	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	09/14/1981 - 09/27/1999	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	06/22/1981 - 10/30/1981	MOORE & SCHLEY, CAMERON & CO.	CRD# 6917	

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
05/2019 - Present	LPL Financial	Registered Representative	Y	Rockville Centre, NY, United States
08/2008 - 05/2019	STIFEL NICOLAUS & CO INC	FINANCIAL ADVISOR	Y	OYSTER BAY, 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. 05/2019 - DBA for LPL Business (entity for LPL business) - The Pinnacle Financial Group - 100% - INVESTMENT RELATED - ROCKVILLE CENTRE, NY 11570

2. 09/16/2021 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Start



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Date: 07/22/2021 - 5 Hours Per Month/1 Hour During Securities Trading.

3. 09/26/2023 - The Pinnacle Financial Group - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 09/06/2023 - 160 Hours Per Month/ 7 Hours During Trading



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	2
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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/08/2025
Docket/Case Number:	130932-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	THE PINNACLE FINANCIAL GROUP
Product Type:	No Product
Allegations:	The Office finds that Neuwirth violated section 517 .12(3), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered with the Office as an associated person of PFG.
Current Status:	Final
Resolution:	Order
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: 10/08/2025
Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

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

Total Amount: \$14,375.00

Portion Levied against individual: \$14,375.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 10/08/2025

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement On October 8, 2025, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Eric Neuwirth (Neuwirth). Neuwirth neither admits nor denies the allegations but consents to the entry of findings by the Office. The Office finds that Neuwirth violated section 517.12(3), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered with the Office as an associated person of PFG. Neuwirth agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$14,375.

Reporting Source: Individual

Regulatory Action Initiated By: Florida Office of Financial Regulation

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 10/08/2025

Docket/Case Number: 130932-SR

Employing firm when activity occurred which led to the regulatory action: THE PINNACLE FINANCIAL GROUP

Product Type: No Product

Allegations: The Office finds that Neuwirth violated section 517 .12(3), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered with the Office as an associated person of PFG.

Current Status: Final

Resolution: Order



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:

10/08/2025

Sanctions Ordered:

Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:

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

Total Amount:

\$14,375.00

Portion Levied against individual:

\$14,375.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

10/08/2025

Was any portion of penalty waived?

No

Amount Waived:

Broker Statement

On October 8, 2025, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Eric Neuwirth (Neuwirth). Neuwirth neither admits nor denies the allegations but consents to the entry of findings by the Office. The Office finds that Neuwirth violated section 517.12(3), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered with the Office as an associated person of PFG. Neuwirth agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$14,375.

Disclosure 2 of 2

Reporting Source:

Regulator

Regulatory Action Initiated By:

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:

10/31/1989

Docket/Case Number:

NY-8012-AWC

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

Product Type:

Other Product Type(s):

Allegations:



Current Status: Final
Resolution: Consent
Resolution Date: 10/31/1989
Sanctions Ordered: Censure
 Monetary/Fine \$2,100.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

ON OCTOBER 31, 1989, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. NY-8012-AWC (DISTRICT NO. 12) SUBMITTED BY RESPONDENT ERIC NEUWIRTH WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$2,100.00 (ARTICLE III, SECTIONS 1 AND 15(b) OF THE RULES OF FAIR PRACTICE - RESPONDENT NEUWIRTH SOLD CALL OPTIONS IN A CUSTOMER'S ACCOUNT AND FAILED TO OBTAIN PERMISSION PRIOR TO EACH TRANSACTION).
 \$2,100.00 PAID ON 2/5/90 INVOICE #89-12-873

Reporting Source: Individual
Regulatory Action Initiated By: NASD
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 10/31/1989
Docket/Case Number: NY-8012-AWC

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

Product Type:

Other Product Type(s):

Allegations: ON 10/30/87 NEUWIRTH SOLD FOUR ALZA 12/30 CALLS OPTIONS IN AKINYELE ALUKOS' ACCOUNT. ON 2/10/88, NEUWIRTH SOLD THREE ALZA 7/30 CALL OPTIONS IN THE ALUKOS' ACCOUNT. IN BOTH INSTANCES NEUWIRTH FAILED TO OBTAIN THE ALUKOS' EXPLICIT PERMISSION PRIOR TO EACH TRANSACTION.

Current Status: Final
Resolution: Consent
Resolution Date: 10/31/1989
Sanctions Ordered: Censure
 Monetary/Fine \$2,100.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE EXISTENCE OF THE DESCRIBED EVENTS OR ANY VIOLATIVE ACTIVITY FA ACCEPTED AND



CONSENTED TO THE FINDINGS BY THE ASSOC. OF THE OCCURRENCE OF THE DESCRIBED EVENTS AND ACTIVITIES AND TO FINDINGS SUCH CONDUCT IS IN VIOLATION OF THE ASSOC. RULES OF FAIR PRACTICE. (2) FA CONSENTED TO A PENALTY OF A CENSURE AND A \$2100 FINE.



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:

Allegations: CUSTOMERS ALLEGED UNSUITABILITY OF PB ENERGY INCOME FUND 25 & 26 AND SOUGHT TOTAL RECISSION OF THEIR INVESTMENTS. ALLEGED DAMAGES ARE IN EXCESS OF \$10,000

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/10/1992

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$166,000.00

Individual Contribution Amount: \$0.00

Broker Statement WITHOUT ADMITTING LIABILITY, THE MATTER WAS SETTLED FOR \$166,000.00 ERIC NEUWIRTH DID NOT CONTRIBUTE TO THE AMOUNT OF THE SETTLEMENT
Not Provided



End of Report

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