BrokerCheck Report

MARTIN NACHEMSON

CRD# 1008521

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

MARTIN NACHEMSON

CRD# 1008521

Currently employed by and registered with the following Firm(s):

IA **PARK AVENUE SECURITIES LLC**
800 WESTCHESTER AVENUE
4TH FLOOR SUITE N409
RYE BROOK, NY 10573
CRD# 46173
Registered with this firm since: 06/15/2004

B **PARK AVENUE SECURITIES LLC**
800 WESTCHESTER AVENUE
4TH FLOOR SUITE N409
RYE BROOK, NY 10573
CRD# 46173
Registered with this firm since: 05/03/1999

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 20 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

B **GUARDIAN INVESTOR SERVICES CORPORATION**
CRD# 6635
NEW YORK, NY
02/1995 - 05/1999

B **NEW ENGLAND SECURITIES**
CRD# 615
NEW YORK, NY
09/1985 - 02/1995

B **PHOENIX EQUITY PLANNING CORPORATION**
CRD# 3036
11/1981 - 02/1984

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 20 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **PARK AVENUE SECURITIES LLC**

Main Office Address: **10 HUDSON YARDS**
NEW YORK, NY 10001

Firm CRD#: **46173**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	05/03/1999

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/17/2013
IA	Arizona	Investment Adviser Representative	Approved	05/15/2013
B	California	Agent	Approved	09/23/2005
IA	California	Investment Adviser Representative	Approved	09/27/2005
B	Colorado	Agent	Approved	08/18/2021
IA	Colorado	Investment Adviser Representative	Approved	08/19/2021
B	Connecticut	Agent	Approved	05/03/1999
IA	Connecticut	Investment Adviser Representative	Approved	06/15/2004
B	Delaware	Agent	Approved	02/11/2025
IA	Delaware	Investment Adviser Representative	Approved	02/13/2025
B	District of Columbia	Agent	Approved	05/19/2010
IA	District of Columbia	Investment Adviser Representative	Approved	11/08/2010

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	08/04/2000
IA	Florida	Investment Adviser Representative	Approved	07/31/2006
B	Georgia	Agent	Approved	01/06/2022
B	Illinois	Agent	Approved	07/16/2014
IA	Illinois	Investment Adviser Representative	Approved	07/16/2014
B	Maryland	Agent	Approved	10/22/2010
IA	Maryland	Investment Adviser Representative	Approved	10/27/2010
B	Michigan	Agent	Approved	05/19/2022
IA	Michigan	Investment Adviser Representative	Approved	05/24/2022
B	New Jersey	Agent	Approved	05/03/1999
IA	New Jersey	Investment Adviser Representative	Approved	06/15/2004
B	New York	Agent	Approved	05/03/1999
IA	New York	Investment Adviser Representative	Approved	04/16/2021
B	North Carolina	Agent	Approved	02/11/2014
IA	North Carolina	Investment Adviser Representative	Approved	02/18/2014
B	North Dakota	Agent	Approved	09/28/2018
IA	North Dakota	Investment Adviser Representative	Approved	10/09/2018
B	Pennsylvania	Agent	Approved	02/25/2005
B	South Carolina	Agent	Approved	09/22/2004
IA	South Carolina	Investment Adviser Representative	Approved	07/31/2006
B	Texas	Agent	Approved	08/03/2010

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	05/08/2019
B	Virginia	Agent	Approved	07/02/2003
IA	Virginia	Investment Adviser Representative	Approved	10/28/2010
B	Washington	Agent	Approved	05/17/2022
IA	Washington	Investment Adviser Representative	Approved	06/02/2022

Branch Office Locations

PARK AVENUE SECURITIES LLC
800 WESTCHESTER AVENUE
4TH FLOOR SUITE N409
RYE BROOK, NY 10573

PARK AVENUE SECURITIES LLC
Sag Harbor, NY

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	11/09/1981

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	05/03/2004
B	Uniform Securities Agent State Law Examination	Series 63	06/30/2003

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	02/1995 - 05/1999	GUARDIAN INVESTOR SERVICES CORPORATION	6635	NEW YORK, NY
B	09/1985 - 02/1995	NEW ENGLAND SECURITIES	615	NEW YORK, NY
B	11/1981 - 02/1984	PHOENIX EQUITY PLANNING CORPORATION	3036	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
06/2024 - Present	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	Sag Harbor, NY, United States
06/2024 - Present	PARK AVENUE SECURITIES	AGENT	Y	Sag Harbor, NY, United States
05/1999 - Present	PARK AVENUE SECURITIES LLC	OTHER - Representative	Y	NEW YORK, NY, United States
04/1993 - Present	GUARDIAN LIFE INSURANCE COMPANY	OTHER - INS. SALES	N	NEW YORK, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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. Prosperian Wealth Management
Prosperian Wealth Management is my approved DBA and I conduct insurance business and securities business through this DBA.
Start: 01/01/2011
Address: 800 Westchester Avenue, Suite N409 Rye Brook, NY 10573
5 bus hrs per month

Registration and Employment History

Other Business Activities, continued

Investment related
>10% annual compensation

2. Insurance Sales
I am licensed to and sell insurance products of insurance companies other than Guardian Life
Start: 04/01/1992
Address: 800 Westchester Ave
Rye Brook, NY 10573
5 bus hrs per month
Investment related
>10% annual compensation

End of Report

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