

Part 2B Form ADV Brochure Supplement

Princeton Fund Advisors, LLC

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**This brochure supplement provides information that supplements the Princeton Fund Advisors, LLC brochure. You should have received a copy of that brochure. Please contact us at 888-862-3690 or [AdvisReqA@princetonfundadvisors.com](mailto:AdvisReqA@princetonfundadvisors.com) if you did not receive the Princeton Fund Advisors, LLC brochure or if you have any questions about the contents of this supplement.**

## **John L Sabre**

### **Item 2**

#### **Educational Background and Business Experience**

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Year of Birth: 1957

#### **Education**

University of Minnesota, Minneapolis, MN; B.S. Business, 1979

Wharton School, University of Pennsylvania, Philadelphia, PA; M.B.A. 1984

#### **Business Background**

PFA- Managing Member, 2010 to present.

MYAM – Managing Member, 2003 to present.

MYIA – Managing Member – 2003 to present

Bear Stearns & Co., Senior Managing Director, Head of Mezzanine Capital Group, 2000 to 2001.

First Dominion, Managing Director, 1997 to 2000.

Licenses: Series 7, 24 and 63

### **Item 3**

#### **Disciplinary Information**

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Mr. Sabre has not been involved in any legal or disciplinary events that would be material to your evaluation of Mr. Sabre or the company.

### **Item 4**

#### **Other Business Activities**

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Mr. Sabre is not engaged in any other investment-related businesses outside the company.

### **Item 5**

#### **Additional Compensation**

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Mr. Sabre does not receive economic benefits from any other investment-related businesses outside the company.

### **Item 6**

#### **Supervision**

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PFA's Executive Committee is responsible for the supervision of all employees and the Investment Committee is responsible for the oversight of all products and strategies. Mr. Sabre is a member of both committees and is subject to the Firm's written compliance and supervisory procedures and the related ongoing compliance monitoring and testing. John Sabre's activities are also overseen by the Firm's Chief Compliance Officer, Michael J. Sabre. You may contact Michael Sabre at **888-862-3690** or [AdvisReqA@princetonfundadvisors.com](mailto:AdvisReqA@princetonfundadvisors.com) if you have any questions.

## **Greg D Anderson**

### **Item 2**

#### **Educational Background and Business Experience**

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Year of Birth: 1959

#### **Education**

Hamline University, St. Paul, MN; B.A. Business, 1981.

University of Minnesota School of Law, Minneapolis, J.D., 1984.

#### **Business Background**

PFA - Managing Member - 2010 to present.

MYAM – Managing Member - 2002 to present.

MYIA – Managing Member – 2002 to present

Various positions with Mount Yale affiliates and predecessors – 1998 to 2002

Portfolio Management Consultants, Inc. - Managing Director, Sr. Vice President and

Director of Investment Manager Search, Evaluation and Due Diligence, 1997-1998.

Deloitte & Touche, Sr. Tax Manager, 1996-1997 (Denver, CO) and 1985-1992 (Minneapolis, MN).

Colorado Commodities Corp., Chief Operating Officer, 1992 to 1996.

Licenses: Series 2, 3, 28, 30, 63 and 65

### **Item 3**

#### **Disciplinary Information**

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Mr. Anderson has not been involved in any legal or disciplinary events that would be material to your evaluation of Mr. Anderson or the company.

### **Item 4**

#### **Other Business Activities**

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Mr. Anderson is not engaged in any other investment-related businesses outside the company.

### **Item 5**

#### **Additional Compensation**

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Mr. Anderson does not receive economic benefits from any other investment-related businesses outside the company.

### **Item 6**

#### **Supervision**

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PFA's Executive Committee is responsible for the supervision of all employees and the Investment Committee is responsible for the oversight of all products and strategies. Mr. Anderson is a member of both committees and is subject to the Firm's written compliance and supervisory procedures and the related ongoing compliance monitoring and testing. Mr. Anderson's activities are also overseen by the Firm's Chief Compliance Officer, Michael J. Sabre. You may contact Michael Sabre at **888-862-3690** or

[AdvisReqA@princetonfundadvisors.com](mailto:AdvisReqA@princetonfundadvisors.com) if you have any questions.

## **Marc E Friedman**

### **Item 2**

#### **Educational Background and Business Experience**

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Year of Birth: 1971

#### **Education**

University of Denver – Daniels College of Business, MBA and MS Finance 1999 -2001

University of CO – Boulder, BS Finance 1994

#### **Business Background**

PFA- Senior Vice President – Investment Strategy & Research - 2010 to present.

MYAM – Senior Vice President – Investment Strategy & Research – 2006 to present

MYIA – Senior Vice President – Investment Strategy & Research – 2006 to present

Bard Capital, Vice President -2005 to 2006

Stifel Nicolaus, Vice President – 2000 to 2005

Morgan Stanley – 1997 – 1999

Licenses: Series 7, 31, 63, and 65

### **Item 3**

#### **Disciplinary Information**

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Mr. Friedman has not been involved in any legal or disciplinary events that would be material to your evaluation of Mr. Friedman or the company.

### **Item 4**

#### **Other Business Activities**

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Mr. Friedman is not engaged in any other investment-related businesses outside the company.

### **Item 5**

#### **Additional Compensation**

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Mr. Friedman does not receive economic benefits from any other investment-related businesses outside the company.

### **Item 6**

#### **Supervision**

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PFA's Investment Committee is responsible for the oversight of all products and strategies. Mr. Friedman is a member of the Investment Committee and is subject to the Firm's written compliance and supervisory procedures and the related ongoing compliance monitoring and testing. Mr. Friedman's activities are also overseen by the Firm's Chief Compliance Officer, Michael J. Sabre. You may contact Michael Sabre at **888-862-3690** or [AdvisReqA@princetonfundadvisors.com](mailto:AdvisReqA@princetonfundadvisors.com) if you have any questions.

## **David B Gottesman**

### **Item 2**

#### **Educational Background and Business Experience**

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Year of Birth: 1973

#### **Education**

Lawrence University - BA Psychology 1996

#### **Business Background**

PFA- Senior Vice President – Sales and Marketing - 2010 to present.

MYAM- Senior Vice President – Sales and Marketing - 2007 to present.

MYIA- Senior Vice President – Sales and Marketing - 2007 to present.

ING Life Design – various Sales and National Support positions – 2003 to 2007

Family Wealth Counselors – Director of Operations – 1999 to 2003

Risk Protection of Virginia – Agent and Administrator VIP Accounts – 1996 to 1999

Licenses: Series 6 and 7

### **Item 3**

#### **Disciplinary Information**

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Mr. Gottesman has not been involved in any legal or disciplinary events that would be material to your evaluation of Mr. Friedman or the company.

### **Item 4**

#### **Other Business Activities**

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Mr. Gottesman is not engaged in any other investment-related businesses outside the company.

### **Item 5**

#### **Additional Compensation**

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Mr. Gottesman does not receive economic benefits from any other investment-related businesses outside the company.

### **Item 6**

#### **Supervision**

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PFA's Investment Committee is responsible for the oversight of all products and strategies. Mr. Gottesman is subject to the Firm's written compliance and supervisory procedures and the related ongoing compliance monitoring and testing. Mr. Gottesman's activities are also overseen by the Firm's Chief Compliance Officer, Michael J. Sabre. You may contact Michael Sabre at 888-862-3690 or [AdvisReqA@princetonfundadvisors.com](mailto:AdvisReqA@princetonfundadvisors.com) if you have any questions.

## **Eric G Englebrecht**

### **Item 2**

#### **Educational Background and Business Experience**

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Year of Birth: 1974

#### **Education**

Tulane University – A.B. Freeman School of Business - BS Management 1997

#### **Business Background**

PFA- Senior Vice President – Sales and Marketing - 2010 to present

MYAM – Vice President - Business Development - 2003 to present

MYIA – Vice President - Business Development - 2003 to present

Mount Yale affiliates – Client Services Manager - 2001 to 2003

Merrill, Lynch, Pierce, Fenner & Smith – 1997 to 2001

Licenses: Series 7 and 63

### **Item 3**

#### **Disciplinary Information**

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Mr. Englebrecht has not been involved in any legal or disciplinary events that would be material to your evaluation of Mr. Englebrecht or the company.

### **Item 4**

#### **Other Business Activities**

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Mr. Englebrecht is not engaged in any other investment-related businesses outside the company.

### **Item 5**

#### **Additional Compensation**

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Mr. Englebrecht does not receive economic benefits from any other investment-related businesses outside the company.

### **Item 6**

#### **Supervision**

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PFA's Investment Committee is responsible for the oversight of all products and strategies. Mr. Englebrecht is subject to the Firm's written compliance and supervisory procedures and the related ongoing compliance monitoring and testing. Mr. Englebrecht's activities are also overseen by the Firm's Chief Compliance Officer, Michael J. Sabre. You may contact Michael Sabre at 888-862-3690 or [AdvisReqA@princetonfundadvisors.com](mailto:AdvisReqA@princetonfundadvisors.com) if you have any questions.

## **Theodore B. Smith**

### **Item 2**

#### **Educational Background and Business Experience**

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Year of Birth: 1986

#### **Education**

Lehigh University – BS Finance , Real Estate and Accounting

#### **Business Background**

PFA- Vice President – Business Development – August 2014 to present

MYAM - Vice President – Business Development – August 2014 to present

MYIA - Vice President – Business Development – August 2014 to present

Fortigent, LLC – External Practice Management Consultant – January 2013 to August 2014

Fortigent, LLC – Sales Associate – August 2011 to January 2013

Licenses: Series 7

Chartered Alternative Investment Analyst “CAIA” designation – September 2013

### **Item 3**

#### **Disciplinary Information**

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Mr. Smith has not been involved in any legal or disciplinary events that would be material to your evaluation of Mr. Smith or the company.

### **Item 4**

#### **Other Business Activities**

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Mr. Smith is not engaged in any other investment-related businesses outside the company.

### **Item 5**

#### **Additional Compensation**

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Mr. Smith does not receive economic benefits from any other investment-related businesses outside the company.

### **Item 6**

#### **Supervision**

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PFA’s Investment Committee is responsible for the oversight of all products and strategies. Mr. Smith is subject to the Firm’s written compliance and supervisory procedures and the related ongoing compliance monitoring and testing. Mr. Smith’s activities are also overseen by the Firm’s Chief Compliance Officer, Michael J. Sabre. You may contact Michael Sabre at **888-862-3690** or [AdvisReqA@princetonfundadvisors.com](mailto:AdvisReqA@princetonfundadvisors.com) if you have any questions.

## **Adam T. Duff**

### **Item 2**

#### **Educational Background and Business Experience**

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Year of Birth: 1981

#### **Education**

**University of Minnesota**

#### **Business Background**

PFA- Sales and Marketing - 2010 to present

MYAM - Sales and Marketing - 2010 to present

MYIA - Sales and Marketing - 2010 to present

Octavus Group LLC – Wholesaler - 2006 to 2010

Piper Jaffray – Fixed Income Specialist - 2004 to 2006

RMM Corporation – National Service and Sales Representative - 2002 to 2004

Licenses: Series 7 and 63

### **Item 3**

#### **Disciplinary Information**

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Mr. Duff has not been involved in any legal or disciplinary events that would be material to your evaluation of Mr. Duff or the company.

### **Item 4**

#### **Other Business Activities**

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Mr. Duff is not engaged in any other investment-related businesses outside the company.

### **Item 5**

#### **Additional Compensation**

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Mr. Duff does not receive economic benefits from any other investment-related businesses outside the company.

### **Item 6**

#### **Supervision**

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PFA's Investment Committee is responsible for the oversight of all products and strategies. Mr. Duff is subject to the Firm's written compliance and supervisory procedures and the related ongoing compliance monitoring and testing. Mr. Duff's activities are also overseen by the Firm's Chief Compliance Officer, Michael J. Sabre. You may contact Michael Sabre at 888-862-3690 or [AdvisReqA@princetonfundadvisors.com](mailto:AdvisReqA@princetonfundadvisors.com) if you have any questions.



## **Mike Klever**

### **Item 2**

#### **Educational Background and Business Experience**

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Year of Birth: 1974

#### **Education**

**University of Colorado, Boulder – BA Degree Political Science, History**

#### **Business Background**

PFA- Director, Internal Business Development - 2010 to present

MYAM -- Director, Internal Business Development - 2008 to present

MYIA - Director, Internal Business Development - 2008 to present

Merrill Lynch – Client Service Manager – 2003 to 2008

Merrill Lynch – Priority One Service Rep, Group Relationship Partner, Service Analyst - 2000 to 2003

Licenses: Series 7 and 66

### **Item 3**

#### **Disciplinary Information**

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Mr. Klever has not been involved in any legal or disciplinary events that would be material to your evaluation of Mr. Klever or the company.

### **Item 4**

#### **Other Business Activities**

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Mr. Klever is not engaged in any other investment-related businesses outside the company.

### **Item 5**

#### **Additional Compensation**

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Mr. Klever does not receive economic benefits from any other investment-related businesses outside the company.

### **Item 6**

#### **Supervision**

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PFA's Investment Committee is responsible for the oversight of all products and strategies. Mr. Klever is subject to the Firm's written compliance and supervisory procedures and the related ongoing compliance monitoring and testing. Mr. Klever's activities are also overseen by the Firm's Chief Compliance Officer, Michael J. Sabre. You may contact Michael Sabre at **888-862-3690** or [AdvisReqA@princetonfundadvisors.com](mailto:AdvisReqA@princetonfundadvisors.com) if you have any questions.