

Part 2B Form ADV Brochure Supplement

## Princeton Fund Advisors, LLC

1580 Lincoln Street, Suite 680  
Denver, CO 80203

1-888-862-3690

[www.Princetonfundadvisors.com](http://www.Princetonfundadvisors.com)



PRINCETON FUND  
ADVISORS, LLC

John L Sabre

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## **John L. Sabre**

### **Item 2**

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

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**

Princeton Fund Advisor, LLC ("PFA")- Managing Member, 2010 to present.

Mount Yale Investment Advisors LLC

("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.

### **Item 3**

#### **Disciplinary Information**

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**

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

### **Item 5**

#### **Additional Compensation**

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

### **Item 6**

#### **Supervision**

The Firm's Executive Committee is responsible for the supervision of all employees and the PFA's 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**

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Greg D Anderson

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## **Greg D. Anderson**

### **Item 2**

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

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**

Princeton Fund Advisors, LLC ("PFA") - Managing Member - 2010 to present.

Mount Yale Investment Advisors, LLC (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.

### **Item 3**

#### **Disciplinary Information**

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**

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

### **Item 5**

#### **Additional Compensation**

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

### **Item 6**

#### **Supervision**

The Firm's Executive Committee is responsible for the supervision of all employees and the PFA's 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

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David B Gottesman

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## **David B. Gottesman**

### **Item 2**

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

Year of Birth: 1973

#### **Education**

Lawrence University - BA Psychology 1996

#### **Business Background**

Princeton Fund Advisors, LLC ("PFA")- Senior Vice President – Sales and Marketing - 2010 to present.

Mount Yale Investment Advisors, LLC ("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, 7, and 66

### **Item 3**

#### **Disciplinary Information**

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

### **Item 4**

#### **Other Business Activities**

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

### **Item 5**

#### **Additional Compensation**

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

### **Item 6**

#### **Supervision**

PFA's Investment Committee is responsible for the oversight of all products and strategies. Mr. Gottesman is member of this committee and 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.

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PRINCETON FUND  
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Eric G Englebrecht

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## **Eric G. Englebrecht**

### **Item 2**

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

Year of Birth: 1974

#### **Education**

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

#### **Business Background**

Princeton Fund Advisors, LLC (“PFA”)- Senior Vice President –  
Sales and Marketing - 2010 to present

Mount Yale Investment (“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**

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**

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

### **Item 5**

#### **Additional Compensation**

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

### **Item 6**

#### **Supervision**

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.



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PRINCETON FUND  
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Mike Klever

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## **Mike Klever**

### **Item 2**

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

Year of Birth: 1974

#### **Education**

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

#### **Business Background**

PFA- Director, Internal Business Development - 2010 to present

Mount Yale Investment Advisors, LLC (“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**

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**

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

### **Item 5**

#### **Additional Compensation**

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

### **Item 6**

#### **Supervision**

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.

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PRINCETON FUND  
ADVISORS, LLC

Yona Klein

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## **Yona Klein**

### **Item 2**

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

Year of Birth: 1974

#### **Education**

St. John's University – B.A. Finance

Certified Investment Management Analyst (CIMA®) designation issued by IMCA in conjunction with the Wharton School of Business. 2008

Certified Investment Management Analyst certification signifies that an individual has met initial and on-going experience, ethical, education and examination requirements for investment management consulting, including advance investment management theory and application. Prerequisites for the CIMA® certification are three years of financial services experience and an acceptable regulatory history. To obtain the CIMA® certification, candidates must pass an online Qualification Examination, successfully complete a one-week classroom education program provided by a Registered Education Provider at an AACSB accredited university business school, and pass a Certification Examination. CIMA® designees are required to adhere to Investments and Wealth Institute's Code of Professional Responsibility, Standards of Practice and Rules and Guidelines for Use of the Marks. CIMA® designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through Investments and Wealth Institute TM formerly known as IMCA®.

#### **Business Background**

PFA, Vice President Business Development, 2019 to present

Mount Yale Investment Advisors, LLC ("MYIA") VP Business Development – 2019 to present

Lincoln Financial Advisors, Director of Investment Services, 2002-2018

Lincoln National Life Insurance, 2002- 2006

Salomon Smith Barney Inc. - 2002

Licenses: Series 7 and 63. Life Insurance\*

\*Mr. Klein is a licensed insurance agent but is not using this license at this time.

### **Item 3**

#### **Disciplinary Information**

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

### **Item 4**

#### **Other Business Activities**

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

### **Item 5**

#### **Additional Compensation**

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

## **Item 6**

### **Supervision**

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