



IAPD Report

DEAN O PETERSON

CRD# 1185754

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

DEAN O PETERSON (CRD# 1185754)

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 **01/04/2016**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	DEAN PETERSON CAPITAL MANAGEMENT, LLC	CRD# 282062	02/10/2016

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	SAXONY SECURITIES, INC.	115547	RANCHO CORDOVA, CA	04/03/2003 - 07/31/2015
B	THE INVESTMENT CENTER, INC.	17839	BEDMINSTER, NJ	03/03/1995 - 03/31/2003
B	INTERCAL SECURITIES CO.	6284	SACRAMENTO, CA	10/02/1992 - 03/28/1995

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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **DEAN PETERSON CAPITAL MANAGEMENT, LLC**
Main Address: RANCHO CORDOVA, CA
Firm ID#: 282062

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	02/10/2016

Branch Office Locations

DEAN PETERSON CAPITAL MANAGEMENT, LLC
RANCHO CORDOVA, CA




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	05/26/1995

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	07/31/2015
 General Securities Representative Examination (S7)	Series 7	09/17/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/29/2015
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/07/1984

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	04/03/2003 - 07/31/2015	SAXONY SECURITIES, INC.	CRD# 115547	RANCHO CORDOVA, CA
B	03/03/1995 - 03/31/2003	THE INVESTMENT CENTER, INC.	CRD# 17839	BEDMINSTER, NJ
B	10/02/1992 - 03/28/1995	INTERCAL SECURITIES CO.	CRD# 6284	SACRAMENTO, CA
B	11/27/1990 - 01/09/1992	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	04/03/1984 - 12/14/1990	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	12/08/1983 - 03/26/1984	EQUITEC SECURITIES COMPANY	CRD# 6463	
B	09/23/1983 - 11/17/1983	G. W. STORY & ASSOCIATES, INC.	CRD# 6277	

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
01/2016 - Present	Dean Peterson Capital Management, LLC	CCO and Managing Member	Y	Rancho Cordova, CA, 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.

No information reported.



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:	Individual
Regulatory Action Initiated By:	STATE OF CALIFORNIA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Revocation
Date Initiated:	12/01/2014
Docket/Case Number:	LCB 0964-AP (AR)
Employing firm when activity occurred which led to the regulatory action:	SAXONY SECURITIES, INC.
Product Type:	Insurance Other: LIFE ONLY
Allegations:	ON OR ABOUT 9/12/12, I PLED NO CONTEST TO A MISDEMEANOR CHARGE OF DISTURBING THE PEACE AND I FAILED TO NOTIFY THE CALIFORNIA DEPARTMENT OF INSURANCE OF THIS ACTION WITHIN 30 DAYS, AS REQUIRED. AS A RESULT, THE DEPARTMENT OF INSURANCE WAS GOING TO FINE ME \$500. ALTERNATIVELY, I COULD REQUEST A HEARING ON THE MATTER. THUS, I REQUESTED A HEARING AND, TO MY SHOCK, MY LICENSE WAS REVOKED. I WAS SHOCKED BECAUSE NOT EVEN THE ATTORNEY FOR THE DEPARTMENT WAS ASKING FOR THAT. INSTEAD, SHE SEEMED TO BE SEEKING A RESTRICTED LICENSE FOR A PERIOD OF TIME.
Current Status:	Final
Resolution:	Decision



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Yes

Resolution Date:

12/01/2014

Sanctions Ordered:

Revocation
Other: BAR BUT CAN REAPPLY IN 3 YEARS.

Sanction 1 of 1

Sanction Type:

Bar (Temporary/Time Limited)

Capacities Affected:

INSURANCE -LIFE ONLY

Duration:

CAN REAPPLY IN THREE YEARS

Start Date:

12/01/2014

End Date:

Broker Statement

I DID NOT NOTIFY THE DEPARTMENT OF INSURANCE BECAUSE I DID NOT KNOW THAT I WAS REQUIRED TO DO SO. IN ADDITION, THE ARREST AND THE LEGAL PROCESS SO TRAUMATIZED ME AND OCCUPIED SO MUCH OF MY THOUGHTS AT THE TIME THAT I WAS NOT THINKING ABOUT OTHER ISSUES. FINALLY, I PLED NO CONTEST BECAUSE MY ATTORNEY SAID THAT IT WAS THE LEAST EXPENSIVE WAY TO PROCEED AND THAT I WAS PLEADING TO THE EQUIVALENT OF JAYWALKING. HAD I KNOWN IT WOULD LEAD TO THESE OTHER ISSUES, I MAY WELL HAVE CHOSEN ANOTHER OPTION.



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:	SUPERIOR COURT OF CALIFORNIA
Location of Court:	SACRAMENTO
Docket/Case #:	12F05731
Charge Date:	08/22/2012
Charge(s) 1 of 1	
Formal Charge(s)/Description:	THREATENING AN OFFICER
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	FELONY CHARGE DROPPED
Disposition of charge:	Reduced
Date of Amended Charge:	09/26/2012
Charge was Amended or reduced to:	DISTURBING THE PEACE
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	NO CONTEST
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	09/26/2012
Disposition Date:	09/26/2012
Sentence/Penalty:	PROBATION. START DATE 09/26/2012. END DATE: 09/26/2015
Broker Statement	I DENY ALL OF THE CHARGES. I PLED NO CONTEST BECAUSE, AS MY ATTORNEY EXPLAINED, IT WAS AT LEAST \$10,000 CHEAPER THAN FIGHTING IT.



End of Report

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