



## IAPD Report

# PETER KEVIN JOHNSON

CRD# 1371966

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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

### PETER KEVIN JOHNSON (CRD# 1371966)

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 **01/06/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CAPITAL ADVISOR NETWORK	CRD# 297578	01/06/2026

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	CAPITAL ADVISOR NETWORK	297578	LAFAYETTE, IN	07/17/2018 - 12/31/2025
B	CENTER STREET SECURITIES, INC.	26898	LAFAYETTE, IN	06/24/2020 - 01/18/2022
B	CENTER STREET SECURITIES, INC.	26898	LAFAYETTE, IN	01/13/2017 - 07/17/2018

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

### Employment 1 of 1

Firm Name: **CAPITAL ADVISOR NETWORK**

Main Address: 925 MEZZANINE DRIVE  
SUITE C  
LAFAYETTE, IN 47905

Firm ID#: 297578

	Regulator	Registration	Status	Date
	Indiana	Investment Adviser Representative	Approved	01/06/2026
	Virginia	Investment Adviser Representative	Approved	01/06/2026

### Branch Office Locations

#### **CAPITAL ADVISOR NETWORK**

925 MEZZANINE DRIVE  
SUITE C  
LAFAYETTE, IN 47905



## 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
B	General Securities Principal Examination (S24)	Series 24	08/20/1999

#### General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	07/17/2018
B	General Securities Representative Examination (S7)	Series 7	10/19/1985

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/07/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/19/1985



### 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
IA	07/17/2018 - 12/31/2025	CAPITAL ADVISOR NETWORK	CRD# 297578	LAFAYETTE, IN
B	06/24/2020 - 01/18/2022	CENTER STREET SECURITIES, INC.	CRD# 26898	LAFAYETTE, IN
B	01/13/2017 - 07/17/2018	CENTER STREET SECURITIES, INC.	CRD# 26898	LAFAYETTE, IN
IA	04/25/2014 - 07/16/2018	CENTER STREET ADVISORS, INC.	CRD# 169329	Lafayette, IN
B	11/13/2013 - 11/25/2015	CENTER STREET SECURITIES, INC.	CRD# 26898	ZIONSVILLE, IN
IA	09/21/2011 - 11/19/2013	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	INDIANAPOLIS, IN
B	09/19/2011 - 11/19/2013	NATIONAL PLANNING CORPORATION	CRD# 29604	INDIANAPOLIS, IN
IA	01/05/2010 - 09/23/2011	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	CRD# 124446	INDIANAPOLIS, IN
B	12/23/2009 - 09/23/2011	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	INDIANAPOLIS, IN
B	02/25/2008 - 12/15/2009	WUNDERLICH SECURITIES, INC.	CRD# 2543	CARMEL, IN
IA	02/25/2008 - 12/15/2009	WUNDERLICH SECURITIES, INC.	CRD# 2543	CARMEL, IN
B	10/12/2006 - 02/26/2008	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	FISHERS, IN
IA	05/15/2002 - 10/09/2006	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	INDIANAPOLIS, IN
B	05/02/2002 - 10/09/2006	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	INDIANAPOLIS, IN
B	01/31/2001 - 04/29/2002	EDWARD JONES	CRD# 250	ST. LOUIS, MO
B	04/17/2000 - 01/19/2001	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	04/19/1999 - 04/25/2000	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC



## 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	01/04/1999 - 03/17/1999	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	03/10/1995 - 01/04/1999	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	01/11/1995 - 03/17/1995	LINSKO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	06/21/1994 - 12/31/1994	WALL STREET INVESTOR SERVICES	CRD# 10012	NEW YORK, NY
B	07/31/1993 - 06/17/1994	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	09/17/1991 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	07/26/1990 - 09/17/1991	RAFFENSPERGER, HUGHES & CO., INC.	CRD# 699	INDIANAPOLIS, IN
B	10/05/1989 - 07/10/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	02/09/1989 - 09/21/1989	PRIVATE LEDGER FINANCIAL SERVICES, INCORPORATED	CRD# 6413	FORT MILL, SC
B	11/09/1987 - 02/21/1989	ISFA CORPORATION	CRD# 12984	
B	01/15/1987 - 07/17/1987	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	12/08/1986 - 02/02/1987	CITY SECURITIES CORPORATION	CRD# 1459	
B	11/27/1985 - 11/14/1986	EDWARD D. JONES & CO., L.P.	CRD# 250	

### 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
07/2018 - Present	CAN Wealth Management	Managing Partner	Y	Lafayette, IN, United States
06/2018 - Present	CAPITAL ADVISOR NETWORK, LLC	MANAGING PRINCIPAL & IAR	Y	LAFAYETTE, IN, United States



## Registration & Employment History



### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2016 - 07/2018	KENNEDY WEALTH GROUP	MANAGING PARTNER	Y	LAFAYETTE, IN, United States
04/2014 - 07/2018	CENTER STREET ADVISORS, INC.	INVESTMENT REPRESENTATIVE	Y	NASHVILLE, TN, United States
11/2013 - 07/2018	CENTER STREET SECURITIES	REP	Y	NASHVILLE, TN, United States
08/2015 - 11/2016	BROOKSTONE CAPITAL MANAGEMENT	PORTFOLIO STRATEGIST	Y	WHEATON, IL, 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) INDEPENDENT INSURANCE AGENT - INVESTMENT RELATED - 925 MEZZANINE DRIVE, SUITE A, LAFAYETTE, IN 47095  
- FIXED INSURANCE SALES - 20 HOURS/MO DURING TRADING HOURS - MARKETING AND SALES OF FIXED INSURANCE PRODUCTS.

Mr. Johnson engages in activities with Appalachian Strategy Group, LLC, a special consulting company focused on information and relationship management, some project and workflow management, and document assembly, using AI technologies and remote workforce. Through the relationship with Appalachian Strategies, Mr. Johnson may assist in tax equity and planning services to clients and may refer clients to a specific law firm, Goodspeed Merrill. Mr. Johnson receives compensation through Appalachian Strategies for the referrals made to Goodspeed Merrill.





## 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
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 1

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF INDIANA SECRETARY OF STATE SECURITIES DIV
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	02/08/1988
<b>Docket/Case Number:</b>	88-0013SC
<b>Employing firm when activity occurred which led to the regulatory action:</b>	OLDE
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	THE ADMINISTRATIVE COMPLAINT ALLEGED THAT I HAD FUNCTIONED AS AN AGENT WITHOUT BEING REGISTERED WITH RESPONDENT FOR 11 DAYS WHICH INCLUDED WEEKENDS AND A LEGAL HOLIDAY
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	04/21/1988
<b>Sanctions Ordered:</b>	
<b>Other Sanctions Ordered:</b>	



**Sanction Details:**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS I AGREED TO AMEND MY U-4 TO REFLECT THE PERIOD OF EMPLOYMENT. I ALSO AGREED TO REIMBURSE THE SECRETARY OF STATE OF IN SECURITIES DIV \$100.00 FOR THE COST OF THE INVESTIGATION.

**Broker Statement**

MY EMPLOYMENT WITH OLDE SECURITIES COMMENCED ON SEPT 7 1987. IT BECAME OBVIOUS TO ME AFTER ONLY A FEW DAYS ON THE JOB THE OFFICE WAS VIOLATING SEVERAL S.E.C. RULES. THE OFFICE MANAGER IN MY OPINION WAS ALSO SEXUALLY HARRASSING STAFF. DURING THE FIRST AND ONLY WEEK OF MY EMPLOYMENT WITH OLDE I PHONES THEIR HOME OFFICE NOTIFIED THE APPROPRIATE OFFICER OF THE SITUATION AT THEIR INDIANAPOLIS OFFICE AND GAVE MY RESIGNATION. OLDE DID NOT PROVIDE ME WITH A U-4 FORM. IT CAME TO PASS THAT THE STATE INVESTIGATED OLDE FOR SECURITIES VIOLATIONS. RECORDS SHOWED I WAS EMPLOYED BY OLDE FOR 11 DAYS YET MY U-4 DID NOT REFLECT THIS.



## 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:** Firm

**Employing firm when activities occurred which led to the complaint:** STIFEL, NICOLAUS & COMPANY, INC.

**Allegations:** CLIENT'S ATTNY WRITES THE SURRENDER FEES ASSOCIATED W/SWITCHING ANNUITIES WAS NEVER DISCLOSED TO CLIENT. THEY ASK FOR \$30,124.35. THEY ALSO ASK THAT THEY BE ABLE TO SWITCH TO ANOTHER ANNUITY W/OUT PENALTIES OR CHARGES.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$30,124.35

### Customer Complaint Information

**Date Complaint Received:** 02/16/2007

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/21/2007

**Settlement Amount:**

**Individual Contribution Amount:**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** STIFEL, NICOLAUS & COMPANY, INC

**Allegations:** CLIENT'S ATTNY WRITES THE SURRENDER FEES ASSOCIATED W/SWITCHING ANNUITIES WAS NEVER DISCLOSED TO CLIENT. THEY ASK FOR \$30,124.35. THEY ALSO ASK THAT THEY BE ABLE TO SWITCH TO ANOTHER ANNUITY W/OUT PENALTIES OR CHARGES.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$30,124.35

### Customer Complaint Information

**Date Complaint Received:** 02/16/2007

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/21/2007

**Settlement Amount:**



**Individual Contribution  
Amount:**



## End of Report

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