# IAPD Report

# PETER LLOYD ANDERSON

CRD# 1577547



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

## PETER LLOYD ANDERSON (CRD# 1577547)

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 **01/23/2026**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | OSAIC WEALTH, INC. | CRD# 23131 | 02/27/1995 |
| IA | OSAIC WEALTH, INC. | CRD# 23131 | 01/06/2009 |

## QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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 | FINANCIAL DIMENSIONS GROUP, INC. | 115143 | ARDEN HILLS, MN | 06/28/2007 - 11/01/2024 |
| B | AMERICAN EXPRESS FINANCIAL ADVISORS INC. | 6363 | MINNEAPOLIS, MN | 10/22/1986 - 03/08/1995 |

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 |
| Termination | 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 **29** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ  85255

Firm ID#: 23131

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | FINRA | General Securities Representative | Approved | 02/27/1995 |
| B | Alabama | Agent | Approved | 08/05/2020 |
| B | Arizona | Agent | Approved | 09/05/2014 |
| IA | Arizona | Investment Adviser Representative | Approved | 02/09/2026 |
| B | Arkansas | Agent | Approved | 07/03/2024 |
| B | California | Agent | Approved | 01/06/2009 |
| B | Colorado | Agent | Approved | 11/10/2010 |
| B | Florida | Agent | Approved | 04/15/2008 |
| IA | Florida | Investment Adviser Representative | Approved | 09/04/2024 |
| B | Georgia | Agent | Approved | 01/30/1996 |
| B | Idaho | Agent | Approved | 03/19/2019 |
| B | Illinois | Agent | Approved | 12/19/2008 |
| B | Iowa | Agent | Approved | 06/12/2020 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Kansas | Agent | Approved | 02/11/2014 |
| B | Louisiana | Agent | Approved | 08/02/2018 |
| B | Massachusetts | Agent | Approved | 06/09/2014 |
| B | Michigan | Agent | Approved | 08/22/2014 |
| B | Minnesota | Agent | Approved | 02/27/1995 |
| IA | Minnesota | Investment Adviser Representative | Approved | 01/13/2014 |
| B | Missouri | Agent | Approved | 04/19/2000 |
| B | Montana | Agent | Approved | 12/03/1998 |
| B | Nebraska | Agent | Approved | 11/09/2022 |
| B | New Mexico | Agent | Approved | 08/02/2021 |
| B | New York | Agent | Approved | 01/07/2002 |
| B | North Carolina | Agent | Approved | 07/31/2020 |
| B | North Dakota | Agent | Approved | 06/18/2010 |
| B | Pennsylvania | Agent | Approved | 09/24/2014 |
| B | South Dakota | Agent | Approved | 03/15/2023 |
| B | Texas | Agent | Approved | 08/01/2002 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 01/07/2009 |
| B | Utah | Agent | Approved | 04/28/2020 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Virginia | Agent | Approved | 11/28/2016 |
| B | Washington | Agent | Approved | 12/07/2018 |
| B | Wisconsin | Agent | Approved | 07/21/2000 |

### Branch Office Locations

**OSAIC WEALTH, INC.**
6 PINE TREE DRIVE
SUITE 300
ARDEN HILLS, MN  55112

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

### Principal/Supervisory Exams

| | Exam | Category | Date |
|---|---|---|---|
| | No information reported. | | |

### General Industry/Product Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| B | General Securities Representative Examination (S7) | Series 7 | 10/18/1986 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 03/19/1987 |

## PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

 

# 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 | 06/28/2007 - 11/01/2024 | FINANCIAL DIMENSIONS GROUP, INC. | CRD# 115143 | ARDEN HILLS, MN |
| B | 10/22/1986 - 03/08/1995 | AMERICAN EXPRESS FINANCIAL ADVISORS INC. | CRD# 6363 | MINNEAPOLIS, MN |

## 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 |
|---|---|---|---|---|
| 02/1995 - Present | Osaic Wealth, Inc. fka Royal Alliance Associates, Inc. | Registered Representative | Y | Arden Hills, MN, United States |
| 09/2001 - 11/2024 | Financial Dimensions Group, Inc. | Advisory Representative | Y | Arden Hills, MN, 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. PETER L. ANDERSON
POSITION: Statutory Agent - NATURE: Sole Proprietorship - INVESTMENT RELATED: No NUMBER OF HOURS: 5
SECURITIES TRADING HOURS: 1 START DATE: 11/01/1985
ADDRESS: 6 Pine Tree Drive, Suite 300, Arden Hills MN 55112, United States
DESCRIPTION: 2nd to die insurance term insurance ltc insurance

2. MCMURRAY MEDICAL
POSITION: shareholder NATURE: Peteyfish LLC (which I am a 50% shareholder) is investing in a start up Medical Device company by the name of McMurray Medical. Peteyfish is also shareholder in iOmounts as disclosed on my OBA form. Per my discussion with John Corba, Peteyfish LLC has also invested in McMurray Medical which is a start up company. Peteyfish LLC owns 50.5% of this company.
McMurray Medical is a startup company. It will focus on bringing to market a newly patented intubation device for medical professionals delivering anesthesia to patients in the surgery room. Steve Fischer, the other partner in Peteyfish LLC, is president of McMurray. We will invest approximately $50,000 to $60,000 into this company. Subsequent investments have been made and John Corba and RA compliance has been informed of each additional investment made into the company. If the initial response by the medical community is favorable to the newly offered device, we might invest additional money in order to produce large numbers for sale. We also may consider selling the new technology to another established medical device company.
INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 08/26/2016
ADDRESS: 6230 Highway 65, Suite 103, Minneapolis MN 55432, United States
DESCRIPTION: Feedback to other shareholders.

 

# 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 |
| Termination | 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:** | Regulator |
| **Regulatory Action Initiated By:** | NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. |
| **Sanction(s) Sought:** | |
| **Other Sanction(s) Sought:** | |
| **Date Initiated:** | 10/09/1996 |
| **Docket/Case Number:** | C04960033 |
| **Employing firm when activity occurred which led to the regulatory action:** | AMERICAN EXPRESS FINANCIAL ADVISORS |
| **Product Type:** | Other |
| **Other Product Type(s):** | |
| **Allegations:** | COMPLAINT NO. C04960033 FILED OCTOBER 9, 1996 BY DISTRICT NO. 4 AGAINST PETER LLOYD ANDERSON ALLEGING VIOLATIONS OF NASD RULES<br>2110 AND 3030 IN THAT RESPONDENT ANDERSON ENGAGED IN IMPROPER OUTSIDE BUSINESS ACTIVITY IN THAT HE SOLD AND RECEIVED COMPENSATION FOR INSURANCE PRODUCTS OFFERED BY NON-APPROVED<br>INSURANCE COMPANIES WITHOUT GIVING PROMPT WRITTEN NOTICE TO HIS<br>MEMBER FIRM.<br><br>ON JUNE 4, 1997, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER |

| | |
|---|---|
| | OF SETTLEMENT SUBMITTED BY RESPONDENT ANDERSON WAS ISSUED; THEREFORE, HE IS CENSURED AND FINED $10,000. |
| **Current Status:** | Final |
| **Resolution:** | Decision & Order of Offer of Settlement |
| **Resolution Date:** | 06/04/1997 |
| **Sanctions Ordered:** | Censure<br>Monetary/Fine $10,000.00 |
| **Other Sanctions Ordered:** | |
| **Sanction Details:** | FINED |
| **Regulator Statement** | 10-28-99, $10,000 FULLY PAID AS OF 11/4/98, INVOICE #97-04-514 |

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Regulatory Action Initiated By:** | NASD REGULATION, INC. DISTRICT BUSINESS CONDUCT COM*See FAQ #1* |
| **Sanction(s) Sought:** | |
| **Other Sanction(s) Sought:** | |
| **Date Initiated:** | 10/09/1996 |
| **Docket/Case Number:** | C04960033 |
| **Employing firm when activity occurred which led to the regulatory action:** | AMERICAN EXPRESS FINANCIAL ADVISORS |
| **Product Type:** | |
| **Other Product Type(s):** | |
| **Allegations:** | IT WAS ALLEGED THAT APPLICANT ENGAGED IN<br>OUTSIDE BUSINESS ACTIVITY WITHOUT FORMAL DISCLOSURE TO AMERICAN<br>EXPRESS FINANCIAL ADVISORS |
| **Current Status:** | Final |
| **Resolution:** | Decision & Order of Offer of Settlement |
| **Resolution Date:** | 06/04/1997 |
| **Sanctions Ordered:** | Censure<br>Monetary/Fine $10,000.00 |
| **Other Sanctions Ordered:** | |
| **Sanction Details:** | SETTLED ON BASIS OF FINDING THAT APPLICANT VIOLATED NASD CONDUCT RULES 2110 AND 3030, BUT WITH THE CONSIDERATIOINS THAT HE ACTED UNDER THE BELIEF THAT HE WAS SELLING THE BEST PRODUCTS TO HIS CLIENTS AND THERE BEING NO EVIDENCE THAT SUCH ACTION WAS CONCEALED FROM HIS EMPLOYER; APPLICANT RECEIVED CENSURE AND $10,000 FINE |
| **Broker Statement** | Not Provided |

 

## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Firm Name:** | AMERICAN EXPRESS FINANCIAL ADVISORS INC. |
| **Termination Type:** | Permitted to Resign |
| **Termination Date:** | 02/27/1995 |
| **Allegations:** | N/A<br>IT WAS ALLEGED THAT APPLICANT ENGAGED IN<br>OUTSIDE BUSINESS ACTIVITY WITHOUT FORMAL DISCLOSURE TO AMERICAN<br>EXPRESS FINANCIAL ADVISORS |
| **Product Type:** | |
| **Other Product Types:** | |
| **Broker Statement** | TERMINATION<br>THE ALLEGED "OUTSIDE BUSINESS ACTIVITY" THAT WAS<br>THE SUBJECT OF THE INTERNAL REVIEW AND TERMINATION HAD BEEN DONE WITH FULL KNOWLEDGE OF THE COMPLIANCE DEPARTMENT AT IDS/AMERICAN EXPRESS FINANCIAL ADVISORS, INC. (AMEX). THIS ACTIVITY CONSISTED ONLY OF FIXED INSURANCE PRODUCTS, WHICH WERE<br>ABLE TO BE PLACED WITHOUT A SECURITIES LICENSE. I WAS ONLY AN ASSISTANT AT AMEX AT THE TIME, AND I UNDERSTOOD MY ACTIVITY TO BE PROPER. INDEED, MY DISTRICT MANAGERS AND DIVISIONAL MANAGER<br>AT AMEX HAD REFERRED CASES TO ME, THE RESULTING SERVICE OF WHICH WAS ONLY LATER COMMUNICATED TO ME AS BEING IMPROPER "OUTSIDE BUSINESS ACTIVITY." MOREOVER, AS AN ASSISTANT, I WAS NEVER ASKED OR REQUIRED TO FILL OUT AN "EXPLANATION OF OUTSIDE SALES DISCLOSURE FORM", NOR DO I RECALL EVER BEING GIVEN A COMPLIANCE MANUAL. FINALLY, WITHOUT INTENDING TO VIOLATE ANY INVESTMENT RELATED STATUTES, REGULATIONS, RULES OR INDUSTRY STANDARDS OF CONDUCT, I BELIEVED I WAS ACTING IN THE BEST INTERESTS OF MY CLIENTS. |

## End of Report

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