IAPD Report

DAVID EARL PETERSON

CRD# 1704206

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

DAVID EARL PETERSON (CRD# 1704206)

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 **08/10/2020**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EQUITABLE ADVISORS, LLC	CRD# 6627	06/01/2005
IA	EQUITABLE ADVISORS, LLC	CRD# 6627	06/01/2005

QUALIFICATIONS

This representative is currently registered in **1** 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
IA	MONY SECURITIES CORPORATION	4386	IRVINE, CA	07/25/1997 - 06/01/2005
B	MONY SECURITIES CORPORATION	4386	NEW YORK, NY	11/23/1993 - 06/01/2005

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 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EQUITABLE ADVISORS, LLC**

Main Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Firm ID#: 6627

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/01/2005
B	FINRA	General Securities Representative	Approved	06/01/2005
B	California	Agent	Approved	06/01/2005
IA	California	Investment Adviser Representative	Approved	06/01/2005

Branch Office Locations

EQUITABLE ADVISORS, LLC
IRVINE, 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
B	General Securities Principal Examination (S24)	Series 24	03/25/1996

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	11/19/1993

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/03/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/09/1994

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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	07/25/1997 - 06/01/2005	MONY SECURITIES CORPORATION	CRD# 4386	IRVINE, CA
B	11/23/1993 - 06/01/2005	MONY SECURITIES CORPORATION	CRD# 4386	NEW YORK, NY

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
06/2005 - Present	EQUITABLE ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
06/2005 - 06/2020	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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. Outside Fixed Business.

2. Co-trustee of my 3 sisters' trusts: The Suzanne Patten Trust UAD 9/26/2016; The Janet Vandercook Trust UAD 9/26/2016; and The Joan Marsden Trust UAD 9/26/2016. The other co-trustee of these 3 trusts is my other sister Barbara Ott.

3. Trustee of the David Earl Peterson Revocable Trust dated 5/22/1992.

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:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	08/21/2003
Docket/Case Number:	C02030051
Employing firm when activity occurred which led to the regulatory action:	MONY SECURITIES CORPORATION
Product Type:	No Product
Allegations:	NASD RULES 2110, 3010 - RESPONDENT FAILED TO SUPERVISE A REGISTERED REPRESENTATIVE IN A MANNER REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH SEC AND NASD RULES. AFTER RESPONDENT LEARNED OF THE REPRESENTATIVE'S SELLING AWAY ACTIVITIES, HE IGNORED RED FLAG WARNINGS THAT THE REP WAS CONTINUING TO SELL AWAY AND FAILED TO CONSISTENTLY MONITOR THE REP'S INCOMING AND OUTGOING CORRESPONDENCE AS PRESCRIBED BY FIRM PROCEDURES AND FAILED TO CONDUCT REQUIRED SITE INSPECTIONS OF "DETACHED" REPRESENTATIVES WHO WORKED OUT OF THEIR OWN OFFICES. RESPONDENT FAILED TO IMPLEMENT HEIGHTENED OR OTHER SPECIAL SUPERVISION OF THE REPRESENTATIVE WHO CONTINUED TO PARTICIPATE IN THE SALE OF UNREGISTERED SECURITIES.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/21/2003
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, PETERSON CONSENTED TO THE DESCRIBED SANCTIONS AND ENTRY OF FINDINGS, THEREFORE, HE IS FINED $5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY PRINCIPAL CAPACITY FOR 20 BUSINESS DAYS. PETERSON'S SUSPENSION IS EFFECTIVE OCTOBER 6, 2003, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS OCTOBER 31, 2003. FINES PAID ON 10/15/2003.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/21/2003
Docket/Case Number:	C02030051
Employing firm when activity occurred which led to the regulatory action:	MONY SECURITIES CORPORATION
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD FOUND THAT RESPONDENT FAILED TO SUPERVISE A REGISTERED REPRESENTATIVE IN A MANNER REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH SEC AND NASD RULES.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/21/2003
Sanctions Ordered:	Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, PETERSON CONSENTED TO THE DESCRIBED SACTIONS AND ENTRY OF FINDINGS, THEREFORE, HE IS FINED $5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY PRINCIPAL CAPACITY FOR 20 BUSINESS DAYS. SUSPENSION DATES: 10/06/2003-10/31/2003.

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
Charge Date:	09/01/1989
Charge Details:	
Felony?	
Current Status:	Final
Status Date:	04/03/1990
Broker Statement	AUGUST 1989, I WENT OVER TO MY EX-WIFE'S GARAGE AND HAD MY SONS HELP ME LOAD UP A VAN WITH MY POSSESSION WHICH I HAD NEVER TAKEN AFTER MY RECENT DIVORCE. THE ITEMS CONSISTED OF MY TOOLS (MISC.) AND A TRAIN SET WHICH I HAD PURCHASED AND BUILT FOR MY 2 SONS. ON 9/1/89, MY EX-WIFE HAD ME CHARGED WITH GRAND THEFT SINCE THE VALUE OF THE TRAIN SET IS APPROXIMATELY $3,000.00. THE CASE WAS SET FOR A TRIAL DATE OF 4/3/90. ON 4/3/90 MY ATTORNEY AND THE DA THOUGHT THIS WAS RIDICULOUS AND IT WAS A CIVIL MATTER. BOTH COUNTS WERE DROPPED AND I WAS CHARGED WITH TRESPASSING AND PAID A FINE OF $25.00 TO THE STATE RESTITUTION FUND. I ALSO AGREED TO RETURN MY SONS TRAIN SET TO LET HER KEEP FOR THEM. A COPY OF THE ORDER IS ATTACHED. COPY OF MINUTE/PROBATION ORDER DISCLOSES: $25.00 FINE. "DO NOT VIOLATE RESTRAINING ORDER AND RETURN PROPERTY" REC'D (003316 12090).

End of Report

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