



## IAPD Report

# PETER DAVID SCHIFF

CRD# 1759484

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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 DAVID SCHIFF (CRD# 1759484)

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 **08/30/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	EURO PACIFIC ASSET MANAGEMENT, LLC	CRD# 152922	03/29/2024

### 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
IA	A.G.P / ALLIANCE GLOBAL PARTNERS	8361	Dorado, PR	09/25/2009 - 01/03/2024
B	A.G.P. / ALLIANCE GLOBAL PARTNERS	8361	Dorado, PR	06/05/1997 - 01/03/2024
B	DIGITAL OFFERING LLC	166401	LAGUNA BEACH, CA	11/21/2017 - 03/07/2018

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

### Employment 1 of 1

Firm Name: **EURO PACIFIC ASSET MANAGEMENT, LLC**  
Main Address: LOTS 81-82, STREET C  
SUITE 206  
DORADO, PR 00646  
Firm ID#: 152922

Regulator	Registration	Status	Date
<b>IA</b> Puerto Rico	Investment Adviser Representative	Approved	04/10/2024

### Branch Office Locations

**EURO PACIFIC ASSET MANAGEMENT, LLC**  
LOTS 81-82, STREET C  
SUITE 206  
DORADO, PR 00646







## 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 4 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.**


#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	06/16/2000
	Financial and Operations Principal Examination (S27)	Series 27	01/22/1999
	Registered Options Principal Examination (S4)	Series 4	01/25/1989
	General Securities Principal Examination (S24)	Series 24	12/09/1988

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Limited Representative-Equity Trader Exam (S55)	Series 55	03/02/2001
	General Securities Representative Examination (S7)	Series 7	09/17/1988
	National Commodity Futures Examination (S3)	Series 3	10/13/1987

#### State Securities Law Exams


	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	09/24/2009



## Qualifications

### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/01/1989

### 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	09/25/2009 - 01/03/2024	A.G.P / ALLIANCE GLOBAL PARTNERS	CRD# 8361	Dorado, PR
B	06/05/1997 - 01/03/2024	A.G.P. / ALLIANCE GLOBAL PARTNERS	CRD# 8361	Dorado, PR
B	11/21/2017 - 03/07/2018	DIGITAL OFFERING LLC	CRD# 166401	LAGUNA BEACH, CA
B	11/06/2013 - 11/21/2016	DIGITAL OFFERING LLC	CRD# 166401	LAGUNA BEACH, CA
B	02/17/1995 - 07/16/1997	ARMSCOTT SECURITIES, LTD.	CRD# 24781	LOS ANGELES, CA
B	03/04/1997 - 04/16/1997	EURO PACIFIC CAPITAL, INC.	CRD# 8361	
B	05/11/1993 - 01/04/1995	ANNANDALE SECURITIES, INC.	CRD# 23506	
B	09/02/1992 - 11/24/1992	SHEFFIELD INVESTMENTS, INC.	CRD# 17512	
B	05/22/1989 - 10/23/1990	LEHMAN BROTHERS INC.	CRD# 7506	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
12/2016 - Present	Euro Pacific Asset Management LLC	Investment Advisor	Y	Dorado, PR, United States
01/2019 - 01/2024	Euro Pacific Capital, a division of AGP/Alliance Global Partners	Chief Global Strategist	Y	Dorado, PR, United States
01/2017 - 01/2019	Euro Pacific Capital, Inc.	President	Y	Dorado, PR, United States
01/2013 - 03/2018	DIGITAL OFFERING, LLC	OWNER AND ADVISORY BOARD MEMBER	Y	NEWPORT BEACH, CA, United States
07/2009 - 01/2017	EURO PACIFIC CAPITAL, INC.	PRESIDENT	Y	WESTPORT, CT, United States



## Registration & Employment History



### 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. Schiff Sovereign; 151 Calle San Francisco Suite 200, San Juan 0090; not necessarily investment related not there could be a recommendation provided; nature of the other business is a social media and communication business; I'm 50% owner; 10/25/2023; devote around 1 hour a month, none during trading hours: We have a free and paid newsletters and member packages. We host events. We do occasionally recommend investments.
2. SPEAKING ENGAGEMENTS - INVESTMENT-RELATED; SPORADIC HOURS.
3. AUTHOR - INVESTMENT-RELATED; SPORADIC HOURS.



## 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

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL FUTURES ASSOCIATION

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:**

**Date Initiated:** 03/07/1990

**Docket/Case Number:** NFA CASE NO. 90BCC00004

**Employing firm when activity occurred which led to the regulatory action:** INTERNATIONAL FUTURES STRATEGISTS, INC.

**Product Type:** Other

**Other Product Type(s):** UNKNOWN TYPE OF SECURITIES

**Allegations:** +03/21/2001+ NATIONAL FUTURES ASSOCIATION, CASE NO. 90BCC00004, DATED MAY 15, 1990, DISCLOSES: ON MARCH 7, 1990, THE CENTRAL REGIONAL BUSINESS CONDUCT COMMITTEE ("CENTRAL COMMITTEE") ISSUED A COMPLAINT TO PETER DAVID SCHIFF ("SCHIFF"). THE COMPLAINT ALLEGES THAT SCHIFF VIOLATED NFA COMPLIANCE RULES 2-2(A) [CHEAT, FRAUD, DECEIVE CUSTOMERS], 2-29(A)(1) [FRAUDULENT COMM. TO PUBLIC PROHIB.], 2-29(B)(1) [USE OF DECEPTIVE PROMO MATER.] AND 2-29(B)(2) [MISSTATEMENT/OMISSION OF FACT PROMP.] BY USING DECEPTIVE AND MISLEADING SALES SOLICITATIONS. THAT SCHIFF VIOLATED NFA COMPLIANCE RULE 2-29(B)(3) [BALANCED DISCUSSION RE PROFIT/RISK] BY USING PROMOTIONAL MATERIAL WHICH MENTIONED THE POSSIBILITY OF PROFIT WITHOUT BEING ACCOMPANIED BY AN EQUALLY



PROMINENT STATEMENT OF THE RISK OF LOSS.

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 05/15/1990

**Sanctions Ordered:**

**Other Sanctions Ordered:** ON MAY 15, 1990, THE CENTRAL COMMITTEE ISSUED A DECISION IN WHICH IT ACCEPTED SCHIFF'S SETTLEMENT OFFER. THE DECISION REQUIRES THAT IF SCHIFF APPLIES FOR NFA MEMBERSHIP OR REGISTRATION AS AN NFA ASSOCIATE AT ANY TIME WITHIN NINE MONTHS AFTER ISSUANCE OF THE DECISION, THE COMPLAINT IN THIS CASE MAY BE INCLUDED AS PART OF THE RECORD IN ANY NFA MEMBERSHIP PROCEEDING INSTITUTED AGAINST HIM AND, IN SUCH EVENT, HE SHALL NEITHER DISPUTE NOR SUBMIT EVIDENCE TO REFUTE OR OTHERWISE REBUT THE INFORMATION, ALLEGATIONS, OR CONCLUSIONS CONTAINED IN THE COMPLAINT. DURING THE AFOREMENTIONED NINE-MONTH PERIOD, NFA'S MEMBERSHIP COMMITTEE MAY, IF IT DEEMS IT APPROPRIATE, DENY SCHIFF'S APPLICATION FOR NFA MEMBERSHIP OR ASSOCIATE MEMBERSHIP SOLELY ON THE BASIS OF THE MATTERS RAISED IN THE COMPLAINT.

**Sanction Details:** NONE

**Reporting Source:** Individual

**Regulatory Action Initiated By:** BUSINESS CONDUCT COMMITTEE, NFA

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 03/07/1990

**Docket/Case Number:** 90-ECC4

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:** Futures - Commodity

**Other Product Type(s):**

**Allegations:** DECEPTIVE SALES PRESENTATION

**Current Status:** Final

**Resolution:** Decision & Order of Offer of Settlement

**Resolution Date:** 05/15/1990

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** I NEITHER ADMITTED NOR DENIED THE ALLEGATIONS AND AGREED THAT IF I WERE TO APPLY FOR NFA MEMBERSHIP DURING THE NEXT 6 MONTHS THAT I WOULD NOT SUBMIT ANY EVIDENCE TO REFUTE THE ALLEGATIONS.



THE NFA AGREED THAT AFTER THE 6 MONTHS PERIOD, IT WOULD NOT USE THESE ALLEGATIONS AS THE SOLE REASON TO DENY MY REGISTRATION. THERE WERE NO FINES, PENALTIES, SANCTIONS, SUSPENSIONS, OR OTHER RESTRICTIONS.

**Broker Statement**

I USED TO DISCLOSE THE FACT THAT I HAD AGREED TO ALLOW THE NFA TO USE MY "FAILURE TO DENY A SPECIFIC ALLEGATION CONCERNING ALLEGED DECEPTIVE SALES PRACTICES" AS THE SOLE BASIS OF DENYING MY APPLICATION FOR MEMBERSHIP FOR A PERIOD OF NINE MONTHS. I DID NOT ADMIT TO THESE ALLEGATIONS, AND WAS NEITHER SANCTIONED, FINED, NOR SUSPENDED AS A RESULT OF THIS AGREEMENT. AS A RESULT OF THE UPDATED LANGUAGE OF THE DRP THIS PARTICULAR EVENT IS NO LONGER CONSIDERED A REPORTABLE ITEM, AS THERE ARE NO QUESTIONS WHICH WOULD RESULT IN THIS INCIDENT REQUIRING A "YES" ANSWER.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	EURO PACIFIC CAPITAL, INC.
<b>Allegations:</b>	Allegations of breach of contract, unsuitability, breach of fiduciary duty and professional negligence from approximately 2013 to Sep 2017.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$50,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	damages of less than 50,000, exact amount to be determined in arbitration
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	20-02114
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	07/03/2020

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/06/2020
<b>Complaint Pending?</b>	No
<b>Status:</b>	Withdrawn
<b>Status Date:</b>	09/03/2020
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



## End of Report

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