



IAPD Report

DONALD SCOTT PETERSON

CRD# 1772237

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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

DONALD SCOTT PETERSON (CRD# 1772237)

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 **09/06/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PETERSON WEALTH MANAGEMENT, LLC	CRD# 285415	10/12/2017
B	M. S. HOWELLS & CO.	CRD# 104100	01/02/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	FIRST ALLIED ADVISORY SERVICES, INC.	137888	SPARKS, NV	01/14/2015 - 12/20/2019
B	FIRST ALLIED SECURITIES, INC.	32444	SPARKS, NV	01/03/2007 - 12/20/2019
B	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	11025	SPARKS, NV	12/10/2004 - 12/19/2006

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
Customer Dispute	2



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

Employment 1 of 2

Firm Name: **M. S. HOWELLS & CO.**
Main Address: 23350 N. PIMA RD.
SCOTTSDALE, AZ 85255
Firm ID#: 104100

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/02/2020
B	FINRA	General Securities Representative	Approved	01/02/2020
B	Arizona	Agent	Approved	01/02/2020
B	California	Agent	Approved	01/02/2020
B	Colorado	Agent	Approved	01/02/2020
B	Connecticut	Agent	Approved	01/03/2022
B	Georgia	Agent	Approved	01/02/2020
B	Idaho	Agent	Approved	01/03/2020
B	Indiana	Agent	Approved	01/08/2020
B	Iowa	Agent	Approved	01/02/2020
B	Louisiana	Agent	Approved	01/02/2020
B	Minnesota	Agent	Approved	01/02/2020
B	Missouri	Agent	Approved	01/02/2020



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	01/02/2020
B Oregon	Agent	Approved	01/02/2020
B Pennsylvania	Agent	Approved	01/02/2020
B Tennessee	Agent	Approved	01/03/2022
B Texas	Agent	Approved	01/09/2020
B Utah	Agent	Approved	01/02/2020
B Washington	Agent	Approved	01/02/2020
B West Virginia	Agent	Approved	07/26/2021

Branch Office Locations

2255 GREEN VISTA DRIVE
SUITE 403
SPARKS, NV 89431

Employment 2 of 2

Firm Name: **PETERSON WEALTH MANAGEMENT, LLC**
Main Address: 2255 GREEN VISTA DRIVE
SUITE 403
SPARKS, NV 89431
Firm ID#: 285415

Regulator	Registration	Status	Date
IA Nevada	Investment Adviser Representative	Approved	10/12/2017

Branch Office Locations

PETERSON WEALTH MANAGEMENT, LLC
2255 GREEN VISTA DRIVE
SUITE 403
SPARKS, NV 89431




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	03/03/2005

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	11/21/1987

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	09/27/2014
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/15/1988

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	01/14/2015 - 12/20/2019	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	SPARKS, NV
B	01/03/2007 - 12/20/2019	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SPARKS, NV
B	12/10/2004 - 12/19/2006	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	SPARKS, NV
B	11/27/1987 - 12/14/2004	EDWARD JONES	CRD# 250	ST. LOUIS, MO

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
01/2020 - Present	M.S. HOWELLS & CO	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
10/2017 - Present	PETERSON WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SPARKS AND FALLON, NV, United States
10/2004 - Present	PETERSON WEALTH MANAGEMENT, LLC	MEMBER	Y	SPARKS AND FALLON, NV, United States
01/2015 - 12/2019	FIRST ALLIED ADVISORY SERVICES, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
01/2007 - 12/2019	FIRST ALLIED SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, 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.

1.) 2004; PETERSON WEALTH MANAGEMENT; DIRECT OWNER; "DOING BUSINESS AS" (DBA); START DATE: 2.) 2004; PETERSON WEALTH MANAGEMENT, SPARKS, NV; INVESTMENT RELATED; INVESTMENT ADVISORY; OWNER, CHIEF INVESTMENT OFFICER; DEVOTE 120 HRS/MONTH, 4-5 HRS/DAY DURING MARKET HOURS. 3.) 2004; INSURANCE; SPARKS, NV; NON INVESTMENT RELATED; ANNUITY AND LIFE; AGENT; DEVOTE 20 HRS/MONTH, 4 HRS DURING MARKET HOURS 4.) M.S. HOWELLS & CO.; INVESTMENT RELATED; BROKER-DEALER; REGISTERED REPRESENTATIVE; COMMISSION-BASED SECURITIES SALES 5.) OCT 2021; RENO ICE 146 ASSISTANT COACH, RENO NV; NON



Registration & Employment History



OTHER BUSINESS ACTIVITIES

INVESTMENT RELATED; 146 ASSISTANT COACH FOR A TRAVEL UNDER 14 TEAM; DEVOTE 16 HRS/MONTH DURING NON MARKET 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
Customer Dispute	2

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 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT STATES THAT IR PURCHASED 200 SHS CALPINE CORP STOCK @ 46.99 PER SHARE, NOW WORTH \$2.08 PER SHARE, AND 340 SHS MIRANT CORP @ \$42 PER SHARE, NOW WORTH \$1.50 PER SHARE. BOTH STOCKS WERE PURCHASED IN MID 2001. CLIENT STATES THAT EDWARD JONES DID NOT RECOMMEND THESE STOCKS AND WANTS TO KNOW WHY STOCKS THE IR PURCHASED TWO HIGH RISK COMPANIES THAT DO THE SAME BUSINESS. STATES A LOSS OF \$22,275 THAT CLIENT WANTS RETURNED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$22,275.00

Customer Complaint Information

Date Complaint Received: 11/26/2002

Complaint Pending? No

Status: Denied

Status Date: 07/27/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement AT THE TIME OF PURCHASE IN MAY AND JUNE 2001, MIRANT WAS A "STRONG BUY" BY JONES AND THE PURCHASE WAS THOROUGHLY



DISCUSSED WITH THE CLIENT PRIOR TO PLACING THE TRADE. CALPINE WAS ALSO PURCHASED IN 2001. WHILE JONES DID NOT FOLLOW THIS COMPANY, IT WAS RATED A 'BUY" BY FIRST BOSTON AT THE TIME OF PURCHASE. THE CLIENT'S INVESTMENT OBJECTIVES WERE GROWTH AND GROWTH AND INCOME. THESE INVESTMENTS APPEAR TO FIT WITHIN CLIENT'S STATED INVESTMENT OBJECTIVES. CLAIM DENIED.

Disclosure 2 of 2

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

CLIENT STATES HER ACCOUNT VALUE HAS DECLINED FROM APPROXIMATELY \$160,000 TO \$66,000 WHILE INVESTED WITH PETERSON. THE CLIENT IS UNHAPPY WITH THE PERFORMANCE OF HER ACCOUNT AND STATES SHE DID NOT RECEIVE ENOUGH ATTENTION OR SERVICE FROM PETERSON AS THE VALUE DECLINED MONTHLY. THE CLIENT ALSO STATES SHE WAS INVESTED MAINLY IN TECHNOLOGY AND SHOULD HAVE BEEN MORE DIVERSIFIED.

Product Type:

Other

Alleged Damages:

\$94,000.00

Customer Complaint Information**Date Complaint Received:**

04/04/2001

Complaint Pending?

No

Status:

Denied

Status Date:

06/29/2001

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

PETERSON STATES HE WAS IN REGULAR CONTACT WITH THE CLIENT AND SPOKE WITH HER EVERY FEW MONTHS. PETERSON STATES HE ALSO PROVIDED THE CLIENT WITH A PORTFOLIO ANALYSIS ON A REGULAR BASIS. THE CLIENTS PORTFOLIO APPEARS IN LINE WITH HER STATED OBJECTIVES. THE CLIENT HAS ALSO RECEIVED MONTHLY STATEMENTS REFLECTING THE MARKET VALUE OF HER INVESTMENTS. CLAIM DENIED.



End of Report

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