



## IAPD Report

# PETER JOHN SUCCOSO

CRD# 1798811

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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 JOHN SUCCOSO (CRD# 1798811)

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 **11/26/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024
<b>IA</b>	SHERPA CAPITAL MANAGEMENT	CRD# 336739	07/24/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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
<b>B</b>	WOODBURY FINANCIAL SERVICES, INC.	421	HOCKESSIN, DE	02/21/2007 - 01/19/2024
<b>IA</b>	WOODBURY FINANCIAL SERVICES, INC.	421	HOCKESSIN, DE	02/21/2007 - 01/19/2024
<b>IA</b>	HORNOR, TOWNSEND & KENT, INC.	4031	HOCKESSIN, DE	01/23/2004 - 02/28/2007

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



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

#### Employment 1 of 2

Firm Name: **SHERPA CAPITAL MANAGEMENT**  
Main Address: JUPITER, FL  
Firm ID#: 336739

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	07/24/2025

#### Branch Office Locations

**SHERPA CAPITAL MANAGEMENT**  
JUPITER, FL

#### Employment 2 of 2

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	01/19/2024
B California	Agent	Approved	01/19/2024
B Colorado	Agent	Approved	01/19/2024
B Connecticut	Agent	Approved	01/19/2024
B Delaware	Agent	Approved	01/19/2024
IA Delaware	Investment Adviser Representative	Approved	01/19/2024
B District of Columbia	Agent	Approved	01/19/2024



### Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	01/19/2024
IA Florida	Investment Adviser Representative	Approved	06/21/2024
B Illinois	Agent	Approved	05/10/2024
B Indiana	Agent	Approved	01/19/2024
B Maine	Agent	Approved	01/19/2024
B Maryland	Agent	Approved	01/19/2024
B Massachusetts	Agent	Approved	01/19/2024
B Michigan	Agent	Approved	01/19/2024
B Minnesota	Agent	Approved	01/19/2024
B New Jersey	Agent	Approved	01/19/2024
B New York	Agent	Approved	01/19/2024
B North Carolina	Agent	Approved	01/19/2024
B Pennsylvania	Agent	Approved	01/19/2024
IA Pennsylvania	Investment Adviser Representative	Approved	01/19/2024
B Rhode Island	Agent	Approved	01/19/2024
B South Carolina	Agent	Approved	01/19/2024
B Texas	Agent	Approved	01/19/2024
IA Texas	Investment Adviser Representative	Restricted Approval	09/26/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Vermont	Agent	Approved	01/19/2024
<b>B</b> Virginia	Agent	Approved	01/19/2024
<b>B</b> West Virginia	Agent	Approved	01/19/2024
<b>B</b> Wisconsin	Agent	Approved	01/19/2024

### Branch Office Locations

**OSAIC WEALTH, INC.**  
722 YORKLYN ROAD, STE 300  
STONE MILL OFFICE COMPLEX  
HOCKESSIN, DE 19707

**OSAIC WEALTH, INC.**  
Jupiter, FL

**OSAIC WEALTH, INC.**  
3477 CORPORATE PKWY  
CENTER VALLEY, PA 18034



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams


Exam	Category	Date
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No information reported.

#### General Industry/Product Exams


Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	10/20/1998
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#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	11/06/2003
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 Uniform Securities Agent State Law Examination (S63)	Series 63	10/28/1998
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### 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
B	02/21/2007 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	HOCKESSIN, DE
IA	02/21/2007 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	HOCKESSIN, DE
IA	01/23/2004 - 02/28/2007	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	HOCKESSIN, DE
B	08/16/2002 - 02/28/2007	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	HOCKESSIN, DE
B	12/16/2001 - 08/09/2002	PAN-AMERICAN FINANCIAL ADVISERS	CRD# 15578	NEW ORLEANS, LA
B	03/21/2001 - 12/16/2001	AMERICAN CAPITAL CORPORATION	CRD# 16124	VALLEY FORGE, PA
B	10/21/1998 - 04/06/1999	CANTOR, WEISS & FRIEDNER, INC.	CRD# 24771	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
06/2025 - Present	SHERPA CAPITAL MANAGEMENT, LLC	CHIEF EXECUTIVE OFFICER   INVESTMENT ADVISOR REPRESENTATIVE	Y	JUPITER, FL, United States
01/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE   INVESTMENT ADVISOR REPRESENTATIVE	Y	CENTER VALLEY, PA, United States
02/2007 - 01/2024	WOODBURY FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	HOCKESSIN, PA, 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. SHERPA INSURANCE

POSITION: Agent NATURE: Insurance Agency INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 1 START DATE: 11/18/2019  
ADDRESS: 722 Yorklyn Road, Suite 300, Hockessin, DE 19707  
DESCRIPTION: Advisory

#### 2. SHERPA FINANCIAL SERVICES

POSITION: Life Coach-Financial Planner NATURE: DBA for Financial Services INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2021  
ADDRESS: 722 Yorklyn Road, Suite 300, Hockessin, DE 19707  
DESCRIPTION: As a certified life coach I am able to utilize the Design Your Life materials and provide financial planning.

#### 3. HOCKESSIN MONTESORI SCHOOL BOARD MEMBER

POSITION: Board Member NATURE: School INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 1 START DATE: 06/01/1989  
ADDRESS: 1000 Old Lancaster Pike  
DESCRIPTION: Board Member at large.

#### 4. SHERPA CONSULTING

POSITION: Principal NATURE: DBA INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 2 START DATE: 06/01/1999  
ADDRESS: 722 Yorklyn Road, Suite 300, Hockessin, DE 19707  
DESCRIPTION: Provide Strategic Planning and executive coaching services for a select group of companies.

#### 5. SHERPA CAPITAL MANAGEMENT, LLC

POSITION: Officer/Director NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 100 SECURITIES TRADING HOURS: 100 START DATE: 08/18/2025  
ADDRESS: 500 Ocean Trail Way, Unit 505, Jupiter, FL 33477  
DESCRIPTION: CEO, Investment Advisor

#### 6. OCEAN TRAIL V HOA & OCEAN TRAIL UNIT OWNERS ASSOCIATION (OTUOA)A

POSITION: President NATURE: Condominium Boards INVESTMENT RELATED: No NUMBER OF HOURS: 15 SECURITIES TRADING HOURS: 2 START DATE: 03/08/2023  
ADDRESS: 500 Ocean Trail Way, Jupiter FL 33477, United States  
DESCRIPTION: Provide oversight as a member of a 5 person Board of Directors, and a Property Management Group for the 50 Unit condominium and 602 Units of the Master Association where I reside in Jupiter, Florida. I do not have signing authority for financial accounts, checks etc and am not listed on accounts



## 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

### 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>	Regulator
<b>Regulatory Action Initiated By:</b>	Florida Office of Financial Regulation
<b>Sanction(s) Sought:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	06/21/2024
<b>Docket/Case Number:</b>	121287-SR
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	WOODBURY FINANCIAL SERVICES, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Rendered investment advice, from a location within Florida, without being registered by the Office.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	06/21/2024
<b>Sanctions Ordered:</b>	Cease and Desist



Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$4,375.00

**Portion Levied against individual:** \$4,375.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 06/21/2024

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement**

On June 21, 2024, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Peter John Succoso (Succoso). Succoso neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Succoso violated section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Succoso agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$4,375. The Office agreed to approve Succoso's application as an associated person (RA) with Osaic Wealth, Inc. effective June 21, 2024.

**Reporting Source:** Individual

**Regulatory Action Initiated By:** Florida Office of Financial Regulation

**Sanction(s) Sought:** Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)

**Date Initiated:** 06/21/2024

**Docket/Case Number:** 121287-SR

**Employing firm when activity occurred which led to the regulatory action:** WOODBURY FINANCIAL SERVICES, INC.

**Product Type:** No Product

**Allegations:** Rendered investment advice, from a location within Florida, without being registered by the Office.

**Current Status:** Final

**Resolution:** Order

**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:** 06/21/2024  
**Sanctions Ordered:** Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$4,375.00

**Portion Levied against individual:** \$4,375.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 06/21/2024

**Was any portion of penalty waived?** No

**Amount Waived:**

**Broker Statement**

On June 21, 2024, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Peter John Succoso (Succoso). Succoso neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Succoso violated section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Succoso agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$4,375. The Office agreed to approve Succoso's application as an associated person (RA) with Osaic Wealth, Inc. effective June 21, 2024. Representative Comment: I notified my firm that I was changing my residence to Florida in conjunction with changing my Florida insurance license from non-resident to resident in October 2022. On October 11, 2022 the firm updated my Form U-4 to reflect my Florida address. Upon learning in November 2023 that I was not advisory registered in Florida when I notified my firm of my residence change, I immediately sought to register as a Florida IAR.



## End of Report

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