



IAPD Report

PETER ANDREW JOHNSON

CRD# 1918189

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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 ANDREW JOHNSON (CRD# 1918189)

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 **11/28/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|--------------------|------------|------------------|
| B | OSAIC WEALTH, INC. | CRD# 23131 | 06/14/2024 |
| IA | OSAIC WEALTH, INC. | CRD# 23131 | 06/14/2024 |

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 | SECURITIES AMERICA ADVISORS, INC. | 110518 | WEST SENECA, NY | 05/17/2021 - 06/14/2024 |
| B | SECURITIES AMERICA, INC. | 10205 | WEST SENECA, NY | 09/18/2020 - 06/14/2024 |
| B | SECURITIES SERVICE NETWORK, LLC | 13318 | WEST SENECA, NY | 03/05/1998 - 09/18/2020 |

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 **19** 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 Principal | Approved | 06/14/2024 |
| B FINRA | General Securities Representative | Approved | 06/14/2024 |
| B Arizona | Agent | Approved | 06/14/2024 |
| B Connecticut | Agent | Approved | 06/14/2024 |
| B Florida | Agent | Approved | 06/14/2024 |
| B Georgia | Agent | Approved | 06/14/2024 |
| B Indiana | Agent | Approved | 06/14/2024 |
| B Maryland | Agent | Approved | 06/14/2024 |
| B Massachusetts | Agent | Approved | 06/14/2024 |
| B Michigan | Agent | Approved | 06/14/2024 |
| B Nevada | Agent | Approved | 06/14/2024 |
| B New Jersey | Agent | Approved | 06/14/2024 |
| B New York | Agent | Approved | 06/14/2024 |



Qualifications

| Regulator | Registration | Status | Date |
|------------------|-----------------------------------|---------------------|------------|
| IA New York | Investment Adviser Representative | Approved | 06/14/2024 |
| B North Carolina | Agent | Approved | 06/14/2024 |
| B Ohio | Agent | Approved | 06/14/2024 |
| B Pennsylvania | Agent | Approved | 06/14/2024 |
| B South Carolina | Agent | Approved | 06/14/2024 |
| B Texas | Agent | Approved | 06/14/2024 |
| IA Texas | Investment Adviser Representative | Restricted Approval | 10/02/2024 |
| B Vermont | Agent | Approved | 06/14/2024 |
| B West Virginia | Agent | Approved | 06/14/2024 |
| B Wisconsin | Agent | Approved | 06/14/2024 |

Branch Office Locations

OSAIC WEALTH, INC.
2952 SENECA STREET
WEST SENECA, NY 14224




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 | 12/08/1998 |

General Industry/Product Exams

| Exam | Category | Date |
|--|----------|------------|
|  Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  General Securities Representative Examination (S7) | Series 7 | 03/18/1989 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
|  Uniform Investment Adviser Law Examination (S65) | Series 65 | 01/26/1999 |
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 04/13/1989 |

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 | 05/17/2021 - 06/14/2024 | SECURITIES AMERICA ADVISORS, INC. | CRD# 110518 | WEST SENECA, NY |
| B | 09/18/2020 - 06/14/2024 | SECURITIES AMERICA, INC. | CRD# 10205 | WEST SENECA, NY |
| B | 03/05/1998 - 09/18/2020 | SECURITIES SERVICE NETWORK, LLC | CRD# 13318 | WEST SENECA, NY |
| B | 03/24/1997 - 12/31/1997 | LIBERTY SECURITIES CORPORATION | CRD# 14416 | PURCHASE, NY |
| B | 03/21/1989 - 03/25/1997 | AMERICAN EXPRESS FINANCIAL ADVISORS INC. | CRD# 6363 | MINNEAPOLIS, MN |
| B | 03/21/1989 - 03/25/1997 | IDS LIFE INSURANCE COMPANY | CRD# 6321 | 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 |
|-------------------|--|----------------------|--------------------|--------------------------------|
| 06/2024 - Present | OSAIC WEALTH, INC. | Mass Transfer | Y | WEST SENECA, NY, United States |
| 03/1997 - Present | ROCHESTRE COMMUNITY SAVINGS BANK LIBERTY | FINANCIAL CONSULTANT | Y | ROCHESTER, NY, United States |
| 01/2021 - 06/2024 | SECURITIES AMERICA ADVISORS | IAR | Y | WEST SENECA, NY, United States |
| 09/2020 - 06/2024 | SECURITIES AMERICA, INC. | REGISTERED REP | Y | WEST SENECA, NY, United States |
| 01/1998 - 09/2020 | SECURITIES SERVICE NETWORK, INC. | REGISTERED REP | Y | CHEEKTOWAGA, NY, United States |
| 01/1998 - 09/2020 | SSN ADVISORY, INC | IAR | Y | CHEEKTOWAGA, 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. BUFFALO CREEK TAX GROUP



Registration & Employment History



OTHER BUSINESS ACTIVITIES

POSITION: Prepare taxes for a fee NATURE: I file income tax returns for clients for a fee. INVESTMENT RELATED: No
NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 08/01/2015 ADDRESS: 231 Orchard Park Rd,
West Seneca NY 14224

2. 34 WOODWARD DRIVE

POSITION: owner NATURE: I rent out the apartment over my garage at my residence. INVESTMENT RELATED: No
NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2000 ADDRESS: 34 Woodward Dr., West Seneca NY
14224

3. DBA - Peter Johnson Financial Services (PJFS)

4. PJFS

POSITION: Facilitator NATURE: Help facilitate client creating estate documents with the help of a local attorney. INVESTMENT
RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 05/27/2021 ADDRESS: 231 Orchard
Park Rd., West Seneca NY 14224 DESCRIPTION: I use the firm Heliosplans.com to help the client through the process of
developing their own trust or will and other documents related to this. This is overseen by a local attorney who helps finalize the
documents.

5. PJFS

POSITION: Facilitator NATURE: Help facilitate client creating estate documents with the help of a local attorney. INVESTMENT
RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 05/27/2021
ADDRESS: 2954 Seneca Street, na, West Seneca NY 14224, United States
DESCRIPTION: I use the firm Heliosplans.com to help the client through the process of developing their own trust or will and
other documents related to this. This is overseen by a local attorney who helps finalize the documents.



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: 11/24/1997

Docket/Case Number: C8B970023

Employing firm when activity occurred which led to the regulatory action: AMERICAN EXPRESS FINANCIAL ADVISORS INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 11/24/1997

Sanctions Ordered: Censure
Monetary/Fine \$3,500.00

Other Sanctions Ordered:

Sanction Details:



Regulator Statement ON NOVEMBER 24, 1997, DISTRICT NO. 8 NOTIFIED RESPONDENT PETER ANDREW JOHNSON THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C8B970023 WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$3,500 - (NASD RULE 2110 - RESPONDENT JOHNSON TRACED THE SIGNATURES OF A PROPOSED INSURED AND OWNERS TO AN AMENDMENT TO AN INSURANCE POLICY FORM).

\$3,500.00 PAID ON 3/4/98, INVOICE #98-8B-232

Reporting Source: Individual

Regulatory Action Initiated By: AMERICAN EXPRESS FINANCIAL ADVISOR/NASD (U-5 FORM)

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/26/1997

Docket/Case Number: C8B970023

Employing firm when activity occurred which led to the regulatory action: AMERICAN EXPRESS FINANCIAL ADVISORS INC.

Product Type: Annuity(ies) - Variable

Other Product Type(s):

Allegations: AMEX REVIEW FOUND THAT I AFFIXED THE SIGNATURE OF OTHERS TO A LIFE INSURANCE CONTRACT AMENDMENT FORM. I ADMITTED TO AFFIXING SIGNATURES OF OTHERS TO THE DOCUMENTS. A NEW DOCUMENT WAS ISSUED THAT REQUIRED NOTARIZED SIGNATURES AND WAS SIGNED AND THE POLICY WENT INTO FORCE.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 11/24/1997

Sanctions Ordered: Censure
Monetary/Fine \$3,500.00

Other Sanctions Ordered:

Sanction Details: NASD CENSURE + \$3500 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: Voluntary Resignation

Termination Date: 03/18/1997

Allegations: NOT PROVIDED
ON OR ABOUT FEBRUARY 3, 1997 I TRACED SIGNATURES OF PROPOSED INSURED AND OWNERS TO AN AMENDMENT TO A LIFE INSURANCE POLICY DATED JANUARY 2, 1997 AND FEBRUARY 12, 1997 IN VIOLATION OF RULE 2110. THESE WERE NO DAMAGES TO THE CUSTOMER AS A RESULT OF MY ACTIONS.

Product Type: Insurance

Other Product Types:

Broker Statement VOLUNTARY TERMINATION
IN THE COURSE OF IMPLEMENTING A COMPREHENSIVE FINANCIAL PLAN FOR CLIENTS I HAD WORKED WITH FOR 8 YEARS, WE IMPLEMENTED A LIFE INSURANCE POLICY AS PART OF THIS. THE LIFE INSURANCE TOOK TWO MONTHS TO UNDERWRITE. THE CLIENT'S SIX CHILDREN WERE THE OWNERS OF THE POLICY AND WHEN THE POLICY FINALLY GOT APPROVED, THEIR SIX CHILDREN HAD TO SIGN AN ADDITIONAL AMENDMENT TO START THE POLICY. I ASKED THE CLIENT IF I SHOULD SIGN IT FOR THEM AND THE CLIENT AGREED. NO ONE WAS HURT AND THE CLIENT HAS WRITTEN A LETTER TO ATTEST TO THIS WHICH I HAVE ON FILE.



End of Report

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