



IAPD Report

PETER ANTHONY EMMANUEL

CRD# 2046654

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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 ANTHONY EMMANUEL (CRD# 2046654)

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 **12/07/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	JAFFE TILCHIN INVESTMENT PARTNERS, LLC	CRD# 143608	12/23/2016

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	HD MONEY, INC.	167623	SARASOTA, FL	06/15/2016 - 01/12/2017
B	PALM STATE EQUITIES, INC.	24271	SUN CITY CENTER, FL	10/26/1995 - 11/08/1999
B	FIRST SOUTHEASTERN SECURITIES GROUP, INCORPORATED	14538	TAMPA, FL	01/26/1995 - 10/12/1995

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
Civil Event	1
Customer Dispute	2
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **JAFFE TILCHIN INVESTMENT PARTNERS, LLC**

Main Address: 15350 N. FLORIDA AVE.
TAMPA, FL 33613

Firm ID#: 143608

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	12/23/2016

Branch Office Locations

JAFFE TILCHIN INVESTMENT PARTNERS, LLC

15350 N. Florida Ave
tampa, FL 33613



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, 1 general industry/product exam, 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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B General Securities Representative Examination (S7)	Series 7	04/21/1990
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/18/2016
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B Uniform Securities Agent State Law Examination (S63)	Series 63	06/19/1990
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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	06/15/2016 - 01/12/2017	HD MONEY, INC.	CRD# 167623	SARASOTA, FL
B	10/26/1995 - 11/08/1999	PALM STATE EQUITIES, INC.	CRD# 24271	SUN CITY CENTER, FL
B	01/26/1995 - 10/12/1995	FIRST SOUTHEASTERN SECURITIES GROUP, INCORPORATED	CRD# 14538	TAMPA, FL
B	12/02/1994 - 03/15/1995	MERIDIAN, DUNHILL & CO., INC.	CRD# 15294	
B	04/26/1993 - 11/18/1994	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	04/24/1990 - 05/04/1993	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	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
10/2016 - Present	Jaffe Tilchin Investment Partners, LLC	Investment Advisor Representative	Y	Tampa, FL, United States
08/2011 - Present	TAS Market Profile	consultant	N	Chicago, IL, United States
03/2016 - 01/2017	HD Money	Not provided	Y	Sarasota, FL, 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.

Mr. Emmanuel serves as President of Castro Builders, LLC, a construction company (non investment-related), located at 421 Woodlawn Avenue, Belleair, FL 33756, started with the business in February, 2018, and spends less than 1 hour per month on this activity which does not take place during securities trading hours. Mr. Emmanuel receives profit participation from his ownership stake, however he does not engage in daily duties related to this business.



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
Civil Event	1
Customer Dispute	2
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:	Individual
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Bar Civil and Administrative Penalty(ies)/Fine(s) Disgorgement
Date Initiated:	06/29/2006
Docket/Case Number:	4:05-CV-03134
Employing firm when activity occurred which led to the regulatory action:	Megamania Interactive, Inc.
Product Type:	Penny Stock
Allegations:	Peter was alleged to have violated Section 17(a), 5(a) and 5(c) of the Securities Exchange Act of 1933 and Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5.
Current Status:	Final
Resolution:	Stipulation and Consent



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:	06/29/2006
Sanctions Ordered:	Bar (Temporary/Time Limited) Civil and Administrative Penalty(ies)/Fine(s) Disgorgement
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	Offering and Distribution of Penny Stocks
Duration:	3 years
Start Date:	06/29/2006
End Date:	06/30/2009
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$60,000.00
Portion Levied against individual:	\$60,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/02/2007
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Disgorgement
Total Amount:	\$183,200.00
Portion Levied against individual:	\$183,200.00
Payment Plan:	Agreed to make monthly payments
Is Payment Plan Current:	Yes
Date Paid by individual:	07/02/2007
Was any portion of penalty waived?	No
Amount Waived:	



Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Relief Sought:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement
Date Court Action Filed:	06/29/2006
Date Notice/Process Served:	06/29/2006
Product Type:	Penny Stock
Type of Court:	Federal Court
Name of Court:	United States District Court for the Southern District of Texas
Location of Court:	Houston, Texas
Docket/Case #:	4:05-CV-03134
Employing firm when activity occurred which led to the action:	Megamania Interactive, Inc.
Allegations:	Peter was alleged to have violated Section 17(a), 5(a) and 5(c) of the Securities Exchange Act of 1933 and Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5.
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/29/2006
Sanctions Ordered or Relief Granted:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Injunction Other: Three year bar of offering or distributing penny stocks.

Capacities 1 of 1

Capacities Affected:	Offering or distribution of penny stocks
Duration:	3 years
Start Date:	06/29/2006
End Date:	06/30/2009

Monetary Sanction 1 of 2

Monetary Sanction:	Disgorgement
Total Amount:	\$183,200.00
Portion against individual:	183200
Date Paid:	07/02/2007
Portion Waived:	No
Amount Waived:	



Monetary Sanction 2 of 2

Monetary Sanction:	Civil penalty
Total Amount:	\$60,000.00
Portion against individual:	60000
Date Paid:	07/02/2006
Portion Waived:	No
Amount Waived:	



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: Regulator

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INC.

Allegations: MISREPRESENTATION; CHURNING; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE

Product Type:

Alleged Damages: \$77,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-02416

Date Notice/Process Served: 08/10/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/30/1995

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; TREBLE DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INC.

Allegations: CUSTOMER ALLEGES UNAUTHORIZED TRADING, MISREPRESENTATIONS, EXCESSIVE TRADING AND CONVERSION IN CONNECTION WITH STOCKS AND OPTIONS TRANSACTIONS. ALLEGED LOSSES OF \$77,000.00 WERE CLAIMED

Product Type:



Alleged Damages: \$77,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-02416

Date Notice/Process Served: 08/10/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/30/1995

Monetary Compensation Amount: \$30,000.00

Individual Contribution Amount:

Firm Statement THIS MATTER WAS SETTLED FOR \$30,000.00
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INC.

Allegations: MISREPRESENTATION, CHURNING, IMPROPER & EXCESSIVE TRADING PRACTICES

Product Type:

Alleged Damages: \$77,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-02416

Date Notice/Process Served: 08/10/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/30/1995

Monetary Compensation Amount: \$30,000.00

Individual Contribution Amount:

Broker Statement \$30,000 SETTLEMENT PAID BY PRUDENTIAL SECURITIES, DROPPING ALL CHARGES AGAINST ME, NO RESTRICTIONS WERE IMPOSED. THE PERSON MAKING THESE ALLEGATIONS WAS NOT PRIVY TO ANY UNAUTHORIZED TRADES BY THE DECEASED ACCOUNT HOLDER. ALL TRADES WERE AUTHORIZED BY MILLENER SR.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CLIENT ALLEGES UNSUITABILITY, MISREPRESENTATION AND MISMANAGEMENT IN CONNECTION WITH EQUITY TRADES IN THE CLIENTS ACCOUNTS. TIME FRAME UNCLEAR. ALLEGED DAMAGES OF \$23,000 ARE BEING CLAIMED.

Product Type:

Alleged Damages: \$23,000.00

Customer Complaint Information

Date Complaint Received: 04/23/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$15,000.00

Individual Contribution Amount:

Firm Statement N/A
N/A

Reporting Source: Individual



**Employing firm when
activities occurred which led
to the complaint:**

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING AND
UNSUITABILITY WITH THE PURCHASE OF VARIOUS EQUITIES. DATES ARE
UNSPECIFIED. DAMAGES ARE UNCLEAR BUT IN EXCESS OF \$10,000.

Product Type:

Alleged Damages: \$23,000.00

Customer Complaint Information

Date Complaint Received: 04/23/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$15,000.00

**Individual Contribution
Amount:**

Broker Statement \$15,000 FINE FIRM SETTLED ALL CLAIMS FOR \$15,000
BROKER DENIES ANY AND ALL ALLEGATIONS.



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: FIRST SOUTH EASTERN SECURITIES GROUP
Termination Type: Permitted to Resign
Termination Date: 09/13/1995
Allegations: Not Provided
COMPLIANCE VIOLATION/ALLEGED UNAUTHORIZED
TRADES

Product Type:

Other Product Types:

Broker Statement TERMINATION
CLIENT DID AUTHORIZE ME TO BUY A VERY SMALL
POSITION OF A COMPANY (2500 SHARES OF A \$11.00 STOCK FOR A
QUICK TRADE (ACCOUNT VALUE AT THE TIME WAS 800,000) MARKED FOR
GROWTH. ALTHOUGH I TOLD HIM THAT ONLY UNSOLICITED ORDERS
COULD
BE TAKEN, HE STILL WANTED THE PURCHASE. I DID ENACT THE
PURCHASE. ALLEGATIONS THAT CERTAIN TRADES WERE AUTHORIZED IS
TOTALLY UNTRUE. CLIENT WAS AWARE OF ALL TRADES. COMMUNICATION
WITH CLIENT WAS APPROXIMATELY 10X/DAY.



End of Report

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