



IAPD Report

PETER SAAB

CRD# 2058539

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1 - 2
Qualifications	3 - 10
Registration and Employment History	11 - 12
Disclosure Information	13



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 SAAB (CRD# 2058539)

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 **04/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STONEX SECURITIES INC.	CRD# 18456	03/27/2017
IA	STONEX ADVISORS INC.	CRD# 174182	07/19/2017
B	STONEX FINANCIAL INC.	CRD# 45993	05/03/2024
B	STONEX INTERNATIONAL SECURITIES INC.	CRD# 146667	04/23/2026

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **52** 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	CETERA INVESTMENT SERVICES LLC	15340	BIRMINGHAM, AL	12/03/2015 - 03/29/2017
B	STERNE, AGEE & LEACH, INC.	791	BIRMINGHAM, AL	08/21/2012 - 04/08/2015
B	THE FIG GROUP, LLC	133558	BIRMINGHAM, AL	05/10/2012 - 08/21/2012

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
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Report Summary

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 **52** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 4

Firm Name: **STONEX INTERNATIONAL SECURITIES INC.**
Main Address: 1221 BRICKELL AVENUE
SUITE 200
MIAMI, FL 33131
Firm ID#: 146667

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	04/23/2026
B FINRA	General Securities Representative	Approved	04/23/2026
B FINRA	Municipal Securities Principal	Approved	04/23/2026
B FINRA	Municipal Securities Representative	Approved	04/23/2026
B FINRA	Registered Options Principal	Approved	04/23/2026
B Alabama	Agent	Approved	04/23/2026
B Arizona	Agent	Approved	04/23/2026
B California	Agent	Approved	04/23/2026
B Colorado	Agent	Approved	04/23/2026
B Connecticut	Agent	Approved	04/23/2026
B Delaware	Agent	Approved	04/23/2026
B Florida	Agent	Approved	04/23/2026
B Georgia	Agent	Approved	04/23/2026



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	04/23/2026
B New Jersey	Agent	Approved	04/23/2026
B New York	Agent	Approved	04/23/2026
B Oklahoma	Agent	Approved	04/23/2026
B South Carolina	Agent	Approved	04/23/2026
B South Dakota	Agent	Approved	04/23/2026
B Texas	Agent	Approved	04/23/2026
B Utah	Agent	Approved	05/12/2026
B Virginia	Agent	Approved	04/24/2026
B Washington	Agent	Approved	04/23/2026
B Wyoming	Agent	Approved	04/23/2026

Branch Office Locations

2 PERIMETER PARK SOUTH
SUITE 500W
BIRMINGHAM, AL 35243

2 Perimeter Park South
Suite 100W
Birmingham, AL 35243

Employment 2 of 4

Firm Name: **STONEX FINANCIAL INC.**
Main Address: 329 PARK AVENUE NORTH
SUITE 350
WINTER PARK, FL 32789
Firm ID#: 45993

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	05/03/2024



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	05/03/2024
B FINRA	Municipal Securities Principal	Approved	05/03/2024
B FINRA	Municipal Securities Representative	Approved	05/03/2024
B FINRA	Registered Options Principal	Approved	05/03/2024
B Nasdaq Stock Market	General Securities Principal	Approved	06/18/2025
B Nasdaq Stock Market	General Securities Representative	Approved	06/18/2025
B Nasdaq Stock Market	Registered Options Principal	Approved	06/18/2025

Branch Office Locations

2 PERIMETER PARK SOUTH
 SUITE 100W
 BIRMINGHAM, AL 35243

Employment 3 of 4

Firm Name: **STONEX SECURITIES INC.**
 Main Address: 2 PERIMETER PARK SOUTH
 SUITE 500 WEST
 BIRMINGHAM, AL 35243
 Firm ID#: 18456

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	03/27/2017
B FINRA	General Securities Representative	Approved	03/27/2017
B FINRA	Municipal Securities Principal	Approved	03/27/2017
B FINRA	Municipal Securities Representative	Approved	03/27/2017
B FINRA	Registered Options Principal	Approved	03/27/2017



Qualifications

Regulator	Registration	Status	Date
B Alabama	Agent	Approved	03/27/2017
B Alaska	Agent	Approved	03/27/2017
B Arizona	Agent	Approved	03/27/2017
B Arkansas	Agent	Approved	03/27/2017
B California	Agent	Approved	03/27/2017
B Colorado	Agent	Approved	03/27/2017
B Connecticut	Agent	Approved	03/27/2017
B Delaware	Agent	Approved	03/27/2017
B District of Columbia	Agent	Approved	03/27/2017
B Florida	Agent	Approved	03/27/2017
B Georgia	Agent	Approved	03/27/2017
B Hawaii	Agent	Approved	03/27/2017
B Idaho	Agent	Approved	03/27/2017
B Illinois	Agent	Approved	03/27/2017
B Indiana	Agent	Approved	03/27/2017
B Iowa	Agent	Approved	03/27/2017
B Kansas	Agent	Approved	03/27/2017
B Kentucky	Agent	Approved	03/27/2017
B Louisiana	Agent	Approved	03/27/2017



Qualifications

Regulator	Registration	Status	Date
B Maine	Agent	Approved	03/27/2017
B Maryland	Agent	Approved	03/27/2017
B Massachusetts	Agent	Approved	03/27/2017
B Michigan	Agent	Approved	03/27/2017
B Minnesota	Agent	Approved	03/27/2017
B Mississippi	Agent	Approved	03/27/2017
B Missouri	Agent	Approved	03/27/2017
B Montana	Agent	Approved	03/27/2017
B Nebraska	Agent	Approved	03/27/2017
B Nevada	Agent	Approved	03/27/2017
B New Hampshire	Agent	Approved	03/27/2017
B New Jersey	Agent	Approved	03/27/2017
B New Mexico	Agent	Approved	03/27/2017
B New York	Agent	Approved	03/27/2017
B North Carolina	Agent	Approved	03/28/2017
B North Dakota	Agent	Approved	03/27/2017
B Ohio	Agent	Approved	03/28/2017
B Oklahoma	Agent	Approved	03/27/2017
B Oregon	Agent	Approved	03/27/2017



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	03/27/2017
B Puerto Rico	Agent	Approved	09/05/2019
B Rhode Island	Agent	Approved	03/27/2017
B South Carolina	Agent	Approved	03/27/2017
B South Dakota	Agent	Approved	03/27/2017
B Tennessee	Agent	Approved	03/27/2017
B Texas	Agent	Approved	03/27/2017
B Utah	Agent	Approved	03/27/2017
B Vermont	Agent	Approved	03/27/2017
B Virginia	Agent	Approved	03/27/2017
B Washington	Agent	Approved	03/27/2017
B West Virginia	Agent	Approved	03/27/2017
B Wisconsin	Agent	Approved	03/27/2017
B Wyoming	Agent	Approved	03/27/2017

Branch Office Locations

2 Perimeter Park South
Suite 500 West
Birmingham, AL 35243

Employment 4 of 4

Firm Name: **STONEX ADVISORS INC.**
Main Address: 2 PERIMETER PARK SOUTH
SUITE 500 WEST



Qualifications

Firm ID#: BIRMINGHAM, AL 35243
174182

Regulator	Registration	Status	Date
IA Alabama	Investment Adviser Representative	Approved	07/19/2017

Branch Office Locations

STONEX ADVISORS INC.
2 PERIMETER PARK SOUTH
SUITE 500 WEST
BIRMINGHAM, AL 35243






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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	12/13/1996
 Registered Options Principal Examination (S4)	Series 4	08/16/1995
 General Securities Principal Examination (S24)	Series 24	06/26/1995

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/22/1990

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/21/1997
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/28/1990

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	12/03/2015 - 03/29/2017	CETERA INVESTMENT SERVICES LLC	CRD# 15340	BIRMINGHAM, AL
B	08/21/2012 - 04/08/2015	STERNE, AGEE & LEACH, INC.	CRD# 791	BIRMINGHAM, AL
B	05/10/2012 - 08/21/2012	THE FIG GROUP, LLC	CRD# 133558	BIRMINGHAM, AL
B	07/27/2007 - 01/17/2012	PROEQUITIES, INC.	CRD# 15708	BIRMINGHAM, AL
B	04/26/1994 - 07/27/2007	AMSOUTH INVESTMENT SERVICES, INC.	CRD# 15692	BIRMINGHAM, AL
B	08/24/1990 - 04/07/1994	J.C. BRADFORD & CO.	CRD# 1287	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
04/2026 - Present	STONEX INTERNATIONAL SECURITIES INC.	REGISTERED REP	Y	BIRMINGHAM, AL, United States
05/2024 - Present	STONEX FINANCIAL INC.	REGISTERED REP	Y	BIRMINGHAM, AL, United States
05/2024 - Present	STONEX GROUP INC.	EMPLOYEE	Y	BIRMINGHAM, AL, United States
03/2017 - Present	STONEX ADVISORS INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	BIRMINGHAM, AL, United States
03/2017 - Present	STONEX SECURITIES INC.	COMPLIANCE/SUPE RVISION	Y	BIRMINGHAM, AL, United States
12/2015 - 03/2017	CETERA INVESTMENT SERVICES LLC	IAR REGISTERED REPRESENTATIVE	Y	BIRMINGHAM, AL, United States
12/2015 - 03/2017	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	ST.CLOUD, MN, United States
03/2015 - 03/2017	REGIONS BANK	WEALTH MGMT COMPLIANCE	N	BIRMINGHAM, AL, 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.

Registered Representative may be coded as employee of parent or an affiliate of the parent. The employee may also have various roles for the Firm's affiliates including but not limited to Board positions; please refer to Item 12 (employment section of the U4) for information. Hours may vary as dictated by corporate needs.



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	1

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

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER ALLEGES MISREPRESENTATION ON VALUATION OF AMERICAN MORTGAGE INVESTORS TRUST. CLIENT IS DEMANDING JCB PURCHASE HIS SHARES AT \$19 PER SHARE. CLAIMED LOSS \$5,640

Product Type:

Alleged Damages: \$5,640.00

Customer Complaint Information

Date Complaint Received: 08/03/1998

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Firm Statement NOT PROVIDED
NOT PROVIDED

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER ALLEGES MISREPRESENTATION ON VALUATION OF AMSUICAN MORTGAGES INVESTORS TRUST CLIENT IS DEMANDING JCS BUY HIS SHARES AT \$19.00 PER SHARE. CLAIMED LOSS OF \$5,640.00

Product Type:

Alleged Damages: \$5,640.00

Customer Complaint Information

Date Complaint Received: 08/03/1998

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement N/A
THE CUSTOMER CALLED ME FOR SOME INFORMATION ABOUT THE INVESTMENT IN QUESTION. HE INFORMED ME THAT HE TRIED SEVERAL TIMES TO JUST GET SOME QUESTIONS ANSWERED BYU JCB AND THEY WOULD NOT HELP HIM. I WANTED TO DO WHAT I COULD TO HELP MY OLD CUSTOMER. A LETTER WAS SENT SO THAT THEY (JCB) WOULD HAVE TO RESPOND. AND THEY DID. BILL GREENWOOD FROM JCB ANSWERED ALL QUESTIONS AND THE CUSTOMER IS NOW SATISFIED



End of Report

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