



## IAPD Report

# PETER CASCIOTTA

CRD# 2058958

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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

### PETER CASCIOTTA (CRD# 2058958)

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 **11/20/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CORECAP INVESTMENTS, LLC	CRD# 37068	07/01/2021
<b>IA</b>	CORECAP ADVISORS	CRD# 158819	07/22/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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>IA</b>	WORLD CHOICE SECURITIES, INC.	30933	Cape Coral, FL	07/17/2013 - 06/30/2021
<b>B</b>	WORLD CHOICE SECURITIES, INC.	30933	Cape Coral, FL	05/09/2013 - 06/30/2021
<b>IA</b>	SECURIAN FINANCIAL SERVICES, INC.	15296	FORT MYERS, FL	03/29/2011 - 09/20/2011

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

#### Employment 1 of 2

Firm Name: **CORECAP ADVISORS**  
Main Address: 27777 FRANKLIN ROAD  
SUITE 700  
SOUTHFIELD, MI 48034  
Firm ID#: 158819

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	11/14/2025
IA Florida	Investment Adviser Representative	Approved	07/22/2021
IA Wisconsin	Investment Adviser Representative	Approved	10/13/2023

#### Branch Office Locations

**CORECAP ADVISORS**  
1222 SE 47th Street, Suite 225  
Cape Coral, FL 33904

#### Employment 2 of 2

Firm Name: **CORECAP INVESTMENTS, LLC**  
Main Address: 27777 FRANKLIN ROAD  
SUITE 700  
SOUTHFIELD, MI 48034  
Firm ID#: 37068

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	07/01/2021
B Florida	Agent	Approved	08/04/2021
B Michigan	Agent	Approved	07/01/2021
B New York	Agent	Approved	07/01/2021



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Pennsylvania	Agent	Approved	03/16/2022
<b>B</b> Tennessee	Agent	Approved	07/01/2021
<b>B</b> Virginia	Agent	Approved	01/12/2024
<b>B</b> Wisconsin	Agent	Approved	07/01/2021

### Branch Office Locations

1222 SE 47th Street, Suite 225  
Cape Coral, FL 33904




## 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	11/04/2006

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/16/1993

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/06/2009
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/07/2003

### 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	07/17/2013 - 06/30/2021	WORLD CHOICE SECURITIES, INC.	CRD# 30933	Cape Coral, FL
B	05/09/2013 - 06/30/2021	WORLD CHOICE SECURITIES, INC.	CRD# 30933	Cape Coral, FL
IA	03/29/2011 - 09/20/2011	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	FORT MYERS, FL
B	03/17/2011 - 09/20/2011	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	FORT MYERS, FL
IA	05/13/2009 - 02/09/2011	WORLD CHOICE SECURITIES, INC.	CRD# 30933	FT MYERS, FL
B	10/03/2005 - 02/09/2011	WORLD CHOICE SECURITIES, INC.	CRD# 30933	FT MYERS, FL
B	10/25/2001 - 10/03/2005	SIGMA FINANCIAL CORPORATION	CRD# 14303	ANN ARBOR, MI
B	09/28/2000 - 10/16/2001	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
B	02/23/1994 - 10/31/2000	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	02/23/1994 - 10/31/2000	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	01/08/1994 - 11/01/1994	LUX INVESTOR SERVICES CORPORATION	CRD# 18424	

#### 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
07/2021 - Present	CoreCap Advisors, LLC	Investment Advisor Representative	Y	Southfield, MI, United States
07/2021 - Present	CoreCap Investments, LLC	Registered Representative	Y	Southfield, MI, United States
04/2015 - Present	Asset Management & Advisory Services of Lee County	Owner	N	Cape Coral, FL, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2013 - 07/2021	WORLD CHOICE SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	BEDFORD, TX, 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.

\*Asset Management & Advisory Services of Lee County/DBA name. Investment related; Fixed Insurance sold through approved FMO. Since 4/17/2015, 100 hours per month during trading hours, sales of fixed insurance through approved FMO's Paid commission; ; similar clientele

\*Leverage Insurance Agency, Not investment related; Agency to appoint Agents for life insurance, disability etc., Owner, November 2020, 20 hrs/month, various during trading, manage agents; ; similar clientele

\*Ash Brokerage; Agent; Insurance only; personal disability products; approx. 2 hours per month; approx. 0 hours per month during trading hours; similar clientele

\*Rental Property; Landlord; leasing out office space; approx.. 0 hours per month; approx. 0 hours per month during trading 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:** Firm

**Employing firm when activities occurred which led to the complaint:** AMERICAN EXPRESS FINANCIAL ADVISORS

**Allegations:** THE CLIENTS ALLEGED THE ADVISOR PLACED THEM IN AGGRESSIVE INVESTMENTS DESPITE THEIR CONSERVATIVE RISK TOLERANCE. THEY CLAIMED THE PURCHASES, MADE BETWEEN FEBRUARY 1999 AND MAY 2002, WERE UNSUITABLE BASED ON THEIR AGES AND LIFESTYLES.

**Product Type:** Mutual Fund(s)

**Other Product Type(s):** IDS LIFE VARIABLE ANNUITIES  
IDS LIFE LONG-TERM CARE INSURANCE

**Alleged Damages:** \$150,000.00

### Customer Complaint Information

**Date Complaint Received:** 04/29/2003

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 06/24/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** THE ANNUITIES IN QUESTION FALL UNDER CLASS ACTION. OUR REVIEW FOUND THE ADVISOR'S RECOMMENDATIONS WERE SUITABLE BASED ON



THE CLIENTS' MODERATE RISK TOLERANCE AND LONG-TERM TIME FRAME. THEY DID NOT REQUIRE ACCESS TO THE FUNDS FOR RETIREMENT INCOME.

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** AMERICAN EXPRESS FINANCIAL ADVISORS  
**Allegations:** CLIENTS CLAIM INVESTMENTS WERE UNSUITABLE BASED ON THEIR AGES AND LIFE STYLES. PURCHASES MADE BETWEEN 1999-2002  
**Product Type:** Mutual Fund(s)  
**Alleged Damages:** \$150,000.00

### Customer Complaint Information

**Date Complaint Received:** 04/29/2003  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 06/24/2003  
**Settlement Amount:**  
**Individual Contribution Amount:**

### Disclosure 2 of 2

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** AMERICAN EXPRESS FINANCIAL ADVISORS  
**Allegations:** CLIENT ALLEGED SHE WAS NEVER INFORMED THERE WAS A TAXABLE CONSEQUENCE AS A RESULT OF HAVING HER DECEASED HUSBAND'S VARIABLE ANNUITY PAID OUT TO HER AND THEN REINVESTING THE PROCEEDS IN ANOTHER ANNUITY AND A MUTUAL FUND. SHE REQUESTED REIMBURSEMENT FOR ALL OF THE TAXES OWED ON THE \$25,768 WORTH OF TAXABLE INCOME.  
**Product Type:** Mutual Fund(s)  
**Other Product Type(s):** VARIABLE ANNUITY  
**Alleged Damages:** \$7,215.00

### Customer Complaint Information

**Date Complaint Received:** 06/05/2001  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 08/14/2001  
**Settlement Amount:** \$5,968.95  
**Individual Contribution Amount:** \$0.00



**Firm Statement**

WE FOUND THE FORMER REPRESENTATIVE FAILED TO INFORM THE CLIENT OF THE OPTION OF CHANGING THE OWNERSHIP ON HER DECEASED HUSBAND'S ANNUITY CONTRACT WHICH WOULD HAVE AVOIDED THE CREATION OF A TAXABLE EVENT. THE CLIENT ACCEPTED OUR OFFER OF REIMBURSEMENT OF A PORTION OF THE TAXES SHE INCURRED, REIMBURSEMENT OF THE MUTUAL FUND SALES CHARGE SHE PAID AND REIMBURSEMENT FOR THE SURRENDER CHARGE ON THE NEW ANNUITY CONTRACT.

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**Reporting Source:**

Individual

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

AMERICAN EXPRESS FINANCIAL ADVISORS, INC.

**Allegations:**

CLIENT ALLEGES SHE WAS NEVER INFORMED OF A TAXABLE CONSEQUENCE DUE TO HER DECEASED HUSBANDS VARIABLE ANNUITY PAID TO HER & REINVESTING PROCEEDS. CUSTOMER WAS FULLY AWARE OF THE PROS AND CONS OF MAKING SUCH TRANSACTIONS. I HAD SEVERAL DISCUSSIONS WITH CUSTOMER AND I BELIEVE SHE WAS FULLY AWARE OF THE TAX RAMIFICATIONS. AMEX HANDLED THIS ISSUE & CLOSED THIS ISSUE WITH OUT MY KNOWLEDGE. I WAS NOT AWARE OF ANY ACTIONS MADE ON MY BEHALF BY AMEX.

**Product Type:**

Annuity(ies) - Variable

**Alleged Damages:**

\$7,150.00

**Customer Complaint Information**

**Date Complaint Received:**

06/05/2001

**Complaint Pending?**

No

**Status:**

Settled

**Status Date:**

08/14/2001

**Settlement Amount:**

\$5,968.95

**Individual Contribution Amount:**

\$0.00



## End of Report

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