



## IAPD Report

# BRYAN KRISTIAN PEDERSEN

CRD# 2647617

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8
Disclosure Information	9

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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

### BRYAN KRISTIAN PEDERSEN (CRD# 2647617)

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 **09/26/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RBC CAPITAL MARKETS, LLC	CRD# 31194	06/01/2000
<b>IA</b>	RBC CAPITAL MARKETS, LLC	CRD# 31194	01/01/2002

### QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **42** 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
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No information reported.

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	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 **42** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**  
Main Address: 200 VESEY ST.  
NEW YORK, NY 10281  
Firm ID#: 31194

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	06/01/2000
B FINRA	General Securities Representative	Approved	06/01/2000
B Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B MEMX LLC	General Securities Representative	Approved	11/01/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B NYSE American LLC	General Securities Representative	Approved	06/01/2000



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	06/01/2000
<b>B</b> NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b> Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	03/01/2008
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	03/01/2008
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b> Nasdaq Texas, LLC	General Securities Representative	Approved	01/13/2009
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	06/01/2000
<b>B</b> Alabama	Agent	Approved	08/14/2023
<b>B</b> Alaska	Agent	Approved	03/24/2009
<b>B</b> Arizona	Agent	Approved	10/24/2000
<b>B</b> Arkansas	Agent	Approved	06/28/2018
<b>B</b> California	Agent	Approved	10/24/2000
<b>B</b> Colorado	Agent	Approved	10/24/2000
<b>B</b> Connecticut	Agent	Approved	10/02/2015
<b>B</b> Delaware	Agent	Approved	11/03/2017
<b>B</b> District of Columbia	Agent	Approved	09/19/2001
<b>B</b> Florida	Agent	Approved	08/20/2013



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Georgia	Agent	Approved	09/23/2014
<b>B</b> Hawaii	Agent	Approved	04/12/2019
<b>B</b> Idaho	Agent	Approved	03/24/2009
<b>B</b> Illinois	Agent	Approved	04/02/2014
<b>B</b> Indiana	Agent	Approved	07/18/2018
<b>B</b> Iowa	Agent	Approved	12/18/2018
<b>B</b> Kansas	Agent	Approved	08/21/2008
<b>B</b> Kentucky	Agent	Approved	10/18/2004
<b>B</b> Louisiana	Agent	Approved	05/21/2021
<b>B</b> Maryland	Agent	Approved	12/07/2018
<b>B</b> Massachusetts	Agent	Approved	11/07/2024
<b>B</b> Michigan	Agent	Approved	06/21/2006
<b>B</b> Minnesota	Agent	Approved	09/25/2000
<b>B</b> Missouri	Agent	Approved	06/22/2018
<b>B</b> Montana	Agent	Approved	10/24/2000
<b>B</b> Nebraska	Agent	Approved	10/24/2000
<b>B</b> Nevada	Agent	Approved	10/05/2007
<b>B</b> New Jersey	Agent	Approved	11/16/2016
<b>B</b> New York	Agent	Approved	12/11/2007



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> North Carolina	Agent	Approved	08/12/2019
<b>B</b> Oklahoma	Agent	Approved	10/25/2000
<b>B</b> Oregon	Agent	Approved	08/31/2009
<b>B</b> Pennsylvania	Agent	Approved	05/21/2014
<b>B</b> South Carolina	Agent	Approved	11/23/2015
<b>B</b> South Dakota	Agent	Approved	09/09/2019
<b>B</b> Tennessee	Agent	Approved	10/10/2008
<b>B</b> Texas	Agent	Approved	10/18/2004
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	03/11/2015
<b>B</b> Utah	Agent	Approved	06/25/2018
<b>B</b> Virginia	Agent	Approved	10/25/2000
<b>B</b> Washington	Agent	Approved	10/24/2000
<b>B</b> Wisconsin	Agent	Approved	08/03/2011
<b>B</b> Wyoming	Agent	Approved	10/24/2000
<b>IA</b> Wyoming	Investment Adviser Representative	Approved	07/06/2017

### Branch Office Locations

**RBC CAPITAL MARKETS, LLC**  
200 WEST 17TH STREET  
SUITE 100  
CHEYENNE, WY 82001-4595

**RBC CAPITAL MARKETS, LLC**  
CHEYENNE, WY



## 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, 3 general industry/product exams, and 1 state securities law exam.**

#### 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
Futures Managed Funds Examination (S31)	Series 31	08/11/2003
General Securities Representative Examination (S7)	Series 7	05/31/2000

#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	09/22/2000
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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:

No information reported.

### 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
12/2019 - Present	City National Bank	Employee of an affiliate	Y	Cheyenne, WY, United States
03/2008 - Present	RBC CAPITAL MARKETS, LLC	FINANCIAL CONSULTANT	Y	CHEYENNE, WY, 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) WYOMING MIXED MARTIAL ARTS COMMISSION; ADDRESS: N/A; BUSINESS DESCRIPTION: REGULATORY BODY THAT GOVERNS MIXED MARTIAL ARTS CONTESTS IN THE STATE OF WYOMING; NOT INVESTMENT RELATED; START DATE: 02/01/2014; CAPACITY: BOARD OF DIRECTORS; DUTIES: THE PROMULGATION OF RULES AND REGULATIONS FOR THE GOVERNING OF MMA IN WYOMING, AUDITING PROMOTER AND FIGHTER SAFETY ISSUES; HOURS DEVOTED PER WEEK: 1; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 0

(2) NAME OF ENTITY: Cheyenne Chamber of Commerce  
ADDRESS: 121 W 15th Street suite 204 Cheyenne WY 82001  
INVESTMENT/NOT INVESTMENT RELATED: No  
BUSINESS DESCRIPTION: Foundation/Charitable Institution  
START DATE: 30/06/2025  
CAPACITY: Board of Directors  
DUTIES: Board member  
HOURS DEVOTED PER MONTH: 0 - 4 Hours  
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0 - 4 Hours

(2) COMPETE WYOMING; ADDRESS: N/A; BUSINESS DESCRIPTION: PROMOTING DIVERSITY IN WYOMING; NOT INVESTMENT RELATED; START DATE: 01/13/2015; CAPACITY: BOARD OF DIRECTORS; DUTIES: BOARD MEMBER; HOURS DEVOTED PER WEEK: 1; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 0

(3) CHEYENNE REGIONAL MEDICAL CENTER; ADDRESS: 214 E 23RD ST, CHEYENNE, WY 82001; BUSINESS DESCRIPTION: HOSPITAL BOARD; NOT INVESTMENT RELATED; START DATE: 06/01/2016; CAPACITY: BOARD OF DIRECTORS; DUTIES: I WILL APPROVE HOSPITAL RELATED BUDGET SPENDING & HIRING OF STAFF/PHYSICIANS, APPROVE NEW RULES & REGULATIONS; HOURS DEVOTED PER WEEK: 1; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 1



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

(4) American Council of Young Political Leaders (ACYPL); Address: 2131 K Street NW Suite 400 Washington, DC 20037; Business Description: ACYPL is a nonpartisan nonprofit organization internationally recognized as the pre-eminent catalyst; Start Date: 06/19/17; Capacity: Board of Directors; Duties: Serve as a governing body for a non profit. Help raise funds and ensure the entity is responsible for those expenditures.; HOURS DEVOTED PER WEEK: 1 hr; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 1

(5) NAME OF ENTITY: United Way  
ADDRESS: 1007 E Lincoln way, Cheyenne, WY 82001  
INVESTMENT/NOT INVESTMENT RELATED: No  
BUSINESS DESCRIPTION: United Way  
CAPACITY: Board of Directors  
START DATE: 1/1/2022  
DUTIES: We will help the United Way fund raise and advocate for community participation  
HOURS DEVOTED PER MONTH: 1-2  
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

(6) Name: App made by my family  
Non-investment related  
Address: 2900 Capitol Avenue Cheyenne, WY 82001  
Nature of OBA: not a company - just creating an app  
Position/Title/Relationship: Owner - Active  
Start Date: 07/11/22  
Time devoted: 15 hours over 2 weeks and then it's done  
0 hours during securities trading hours  
Duties: My wife and I are going to build an app that will help families search for Wyoming based scholarships. Then I will turn it over the school district and let them use it and control it

(7) NAME OF ENTITY: John Conner 307 LLC  
ADDRESS: 2900 Capitol Avenue Cheyenne, WY 82001  
INVESTMENT/NOT INVESTMENT RELATED: No  
BUSINESS DESCRIPTION: My wife and I's LLC to hold property  
CAPACITY: Owner - Passive  
START DATE: 06/08/2023  
DUTIES: Ownership.  
HOURS DEVOTED PER MONTH: 1.0  
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

(8) Name of Entity: IBEats  
Non-investment related  
Address: 1111 East Lincolnway Unit 101, Cheyenne, Wyoming 82001  
Nature of OBA: LLC to invest in property  
Position/Title/Role: Owner - Passive  
Start date: 05/29/23  
Time devoted: 1 hour per month; 0 during securities trading hours  
Duties: provide capital for investment



## 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:** Regulator

**Employing firm when activities occurred which led to the complaint:** RBC Capital Markets, LLC, and The Pedersen Investment Group

**Allegations:** Bryan Kristian Pedersen was named in a customer complaint that asserted the following causes of action: breach of fiduciary duty; omission of facts; failure to supervise; negligence; and errors/charges. The causes of action relate to Claimants allegations that Respondents transferred funds from Claimant's Wyoming Retirement System's defined benefit plan which forfeited Claimants' right to receive monthly benefits from the plan.

**Product Type:** Other: Retirement System's defined benefit plan

**Alleged Damages:** \$1,000,000.00

#### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [FINRA - CASE #16-00512](#)

**Date Notice/Process Served:** 03/04/2016

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 07/24/2017

**Disposition Detail:** Bryan Kristian Pedersen is jointly and severally liable for and shall pay to Claimants the sum of \$559,612, as a result of Respondent's negligent conduct, plus interest.



<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	RBC Capital Markets LLC
<b>Allegations:</b>	Clients allege financial advisor signed a Wyoming Retirement System form without first reading it and the documentation was also signed by the clients, resulted in a forfeiture of clients' benefits from the Wyoming Retirement System starting in January 2014.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$1,000,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Estimate based on prior correspondence.
<b>Arbitration Information</b>	
<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	<a href="#">16-00512</a>
<b>Date Notice/Process Served:</b>	03/21/2016
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award to Customer
<b>Disposition Date:</b>	07/24/2017
<b>Monetary Compensation Amount:</b>	\$559,612.00
<b>Individual Contribution Amount:</b>	\$0.00



## End of Report

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