



IAPD Report

PETER FRANK BOZIKOVICH

CRD# 28008

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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 FRANK BOZIKOVICH (CRD# 28008)

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 **01/05/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MARQUAM CAPITAL	CRD# 147782	02/24/2017

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	HP SECURITIES, INC.	31538	PORTLAND, OR	07/19/1993 - 01/05/2024
B	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY	02/02/1987 - 07/23/1993
B	BOETTCHER & COMPANY, INC.	101	NEW YORK, NY	11/30/1982 - 01/28/1987

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	2
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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MARQUAM CAPITAL**
Main Address: 1515 SW 5TH AVE., SUITE 606
PORTLAND, OR 97201-5449
Firm ID#: 147782

Regulator	Registration	Status	Date
IA Alaska	Investment Adviser Representative	Approved	04/30/2021
IA Oregon	Investment Adviser Representative	Approved	02/24/2017
IA Washington	Investment Adviser Representative	Approved	02/28/2017

Branch Office Locations

MARQUAM CAPITAL
1515 SW 5TH AVE., SUITE 606
PORTLAND, OR 97201-5449






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, 7 general industry/product exams, and 3 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	08/11/2009
 Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	01/24/1996
 General Securities Principal Examination (S24)	Series 24	04/01/1993

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 AMEX Put and Call Exam (PC)	PC	11/01/1982
 Interest Rate Options Examination (S5)	Series 5	10/17/1981
 Registered Representative Examination (S1)	Series 1	06/28/1974

State Securities Law Exams



Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	03/27/2015



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	06/01/1992
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/05/1988

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	07/19/1993 - 01/05/2024	HP SECURITIES, INC.	CRD# 31538	PORTLAND, OR
B	02/02/1987 - 07/23/1993	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	11/30/1982 - 01/28/1987	BOETTCHER & COMPANY, INC.	CRD# 101	
B	11/22/1977 - 12/21/1982	SHEARSON/AMERICAN EXPRESS INC.	CRD# 7506	
B	05/16/1977 - 11/22/1977	SHEARSON HAYDEN STONE INC.	CRD# 7295	
B	07/01/1974 - 07/10/1977	E. F. HUTTON & COMPANY INC	CRD# 235	

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
12/2014 - Present	MARQUAM CAPITAL	INVESTMENT ADVISORY REPRESENTATIVE	Y	PORTLAND, OR, United States
07/1993 - 12/2023	HP SECURITIES, INC.	COO	Y	TROUTDALE, OR, 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.

No information reported.



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	2
Customer Dispute	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/14/2009
Docket/Case Number:	2008011569801
Employing firm when activity occurred which led to the regulatory action:	HP SECURITIES, INC.
Product Type:	No Product
Allegations:	NASD RULES 2110, 3011(B): BOZIKOVICH'S MEMBER FIRM, ACTING THROUGH HIM, FAILED TO CONDUCT SEARCHES OF THE FIRM RECORDS WITH RESPECT TO INFORMATION REQUESTS FROM THE FINANCIAL CRIMES ENFORCEMENT NETWORK. BOZIKOVICH WAS RESPONSIBLE FOR IMPLEMENTING AND MONITORING THE DAY-TO-DAY OPERATIONS AND INTERNAL CONTROLS OF THE FIRM'S ANTI-MONEY LAUNDERING COMPLIANCE PROGRAM (AMLCP) AND FOR ABOUT TWO YEARS THE FIRM'S AMLCP FAILED TO INCLUDE INTERNAL CONTROLS REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH 31 CFR PART 103.100(B)(2)(I). BOZIKOVICH FAILED TO ESTABLISH AND IMPLEMENT POLICIES, PROCEDURES AND INTERNAL CONTROLS REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH THE BANK SECRECY ACT AND THE IMPLEMENTING REGULATIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



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:

08/14/2009

Sanctions Ordered:

Censure
Civil and Administrative Penalty(ies)/Fine(s)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$2,500.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual: 12/30/2009

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, BOZIKOVICH CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS CENSURED AND FINED \$5,000, JOINTLY AND SEVERALLY.

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 08/14/2009

Docket/Case Number: 2008011569801

Employing firm when activity occurred which led to the regulatory action: HP SECURITIES, INC.

Product Type: No Product

Allegations: BOZIKOVICH FOUND IN VIOLATION OF NASD RULES 2110, 3011(B) FAILED TO CONDUCT ALL SEARCHES OF FINCEN. AS A ONE MAN SHOP HE FAILED TO PROPERLY SUPERVISE HIMSELF FOR IMPLEMENTING AND MONITORING



THE DAY TO DAY OPERATIONS AND INTERNAL CONTROLS OF THE FIRMS
AML COMPLIANCE PROGRAM.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 08/14/2009

Sanctions Ordered: Censure
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$2,500.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Date Initiated: 08/08/2005

Docket/Case Number: C3B050018

Employing firm when activity occurred which led to the regulatory action: HP SECURITIES, INC

Product Type:

Allegations: MSRB RULES G-2,G-3(B)(II) AND G-3(B)(III)- RESPONDENT, ACTING ON BEHALF OF HIS MEMBER FIRM, EFFECTED TRANSACTIONS IN MUNICIPAL SECURITIES WITHOUT HAVING A QUALIFIED MUNICIPAL SECURITIES PRINCIPAL REGISTERED THROUGH THE FIRM. HE ALSO ENGAGED IN SUPERVISION OF SALES OF MUNICIPAL SECURITIES WITHOUT HAVING BEEN QUALIFIED AS A MUNICIPAL SECURITIES PRINCIPAL BY TAKING AND PASSING THE MUNICIPAL SECURITIES PRINCIPAL QUALIFYING EXAMINATION.



Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 08/08/2005

Sanctions Ordered: Censure
Civil and Administrative Penalty(ies)/Fine(s)

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$5,000, JOINTLY AND SEVERALLY. IN ADDITION, HE WAS FINED \$2,500. FINES PAID.

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 08/23/2005

Docket/Case Number: C3B050018

Employing firm when activity occurred which led to the regulatory action: HP SECURITIES, INC

Product Type: Debt - Municipal

Other Product Type(s):

Allegations: ONE OF OUR BROKERS PURCHASED MUNICIPAL BONDS FOR HIS OWN ACCOUNT AND THE FIRM DID NOT HAVE A MUNICIPAL PRINCIPAL.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 08/08/2005

Sanctions Ordered: Monetary/Fine \$10,000.00

Other Sanctions Ordered:

Sanction Details: \$5000.00 AND PENDING

Broker Statement THIS DID NOT INVOLVE ANY PUBLIC CUSTOMERS OR COMPLAINTS AND WAS COMPLETELY INTERNAL TO HP SECURITIES.



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: HP SECURITIES, INC.

Allegations: CLAIMANTS ALLEGED NEGLIGENCE, NEGLIGENT MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, FRAUD, UNSUITABILITY, VIOLATION OF THE KNOW YOUR CUSTOMER RULE.

Product Type: Other

Other Product Type(s): INVESTMENTS IN VIATICA1 SETTLEMENT INTERESTS.

Alleged Damages: \$143,310.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #04-07097

Date Notice/Process Served: 10/06/2004

Arbitration Pending? No

Disposition: Award

Disposition Date: 12/23/2005

Disposition Detail: RESPONDENTS ARE LIABLE TO AND SHALL PAY CLAIMANTS THE SUM OF \$130,298.00 IN COMPENSATORY DAMAGES UPON THE CLAIMANTS TENDER OF THE SECURITIES TO RESPONDENT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HP INVESTMENT ADVISORY, INC.

Allegations: CLIENTS CLAIM NEGLIGENCE, NEGLEGT MISREPRESENTATIONS, BREACH OF FIDUCIARY DUTIES, FRAUD AND VIOLATION OF OREGON SECURITIES LAW. CLENTS PURCHASED VARIOUS VIATICAL SETTLEMENT CONTRACTS BEGINING MAY OF 1999 AND ENDING MAY OF 2000. NOT ALL OF THE CONTRACTS HAVE MATURED ACCORDING TO THE LIFE EXPECTANCY.

Product Type: Insurance

Other Product Type(s): VIATICAL SETTLEMENTS

Alleged Damages: \$125,000.00

Customer Complaint Information



Date Complaint Received: 11/12/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/12/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE #04-07097

Date Notice/Process Served: 11/12/2004

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 12/23/2005

Monetary Compensation Amount: \$130,298.00

Individual Contribution Amount:



End of Report

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