IAPD Report

BRENT ALAN PECK

CRD# 4371381

Section Title **Page(s)**

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

BRENT ALAN PECK (CRD# 4371381)

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 **11/06/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	10/04/2019
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	10/04/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	FSC SECURITIES CORPORATION	7461	EDMOND, OK	11/20/2013 - 10/10/2019
B	FSC SECURITIES CORPORATION	7461	EDMOND, OK	11/11/2013 - 10/10/2019
IA	INDEPENDENT FINANCIAL GROUP, LLC	7717	OKLAHOMA CITY, OK	03/02/2012 - 11/18/2013

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
Judgment/Lien	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 **7** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**
Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757
Firm ID#: 39543

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/04/2019
B	Arizona	Agent	Approved	10/04/2019
B	Florida	Agent	Approved	10/04/2019
B	Kansas	Agent	Approved	10/04/2019
B	Missouri	Agent	Approved	10/04/2019
B	Oklahoma	Agent	Approved	10/04/2019
B	Texas	Agent	Approved	10/04/2019
B	Virginia	Agent	Approved	10/04/2019

Branch Office Locations

CAMBRIDGE INVESTMENT RESERARCH, INC.
1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757

CAMBRIDGE INVESTMENT RESERARCH, INC.
6821 N. Broadway
Edmond, OK 73034

Employment 2 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**
Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757
Firm ID#: 134139

Qualifications

	Regulator	Registration	Status	Date
IA	Oklahoma	Investment Adviser Representative	Approved	10/04/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	10/04/2019

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
6821 N. Broadway
Broadway, OK 73034

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	05/11/2001
B	General Securities Representative Examination (S7)	Series 7	04/26/2001

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	05/24/2001

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	11/20/2013 - 10/10/2019	FSC SECURITIES CORPORATION	CRD# 7461	EDMOND, OK
B	11/11/2013 - 10/10/2019	FSC SECURITIES CORPORATION	CRD# 7461	EDMOND, OK
IA	03/02/2012 - 11/18/2013	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	OKLAHOMA CITY, OK
B	02/03/2012 - 11/18/2013	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	OKLAHOMA CITY, OK
IA	01/22/2008 - 01/17/2012	BOSC, INC.	CRD# 17530	OKLAHOMA CITY, OK
B	01/17/2008 - 01/17/2012	BOSC, INC.	CRD# 17530	OKLAHOMA CITY, OK
IA	02/12/2007 - 12/17/2007	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	EDMOND, OK
B	02/08/2007 - 12/17/2007	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	EDMOND, OK
IA	08/24/2005 - 02/01/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	OKLAHOMA CITY, OK
B	08/22/2005 - 02/01/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	OKLAHOMA CITY, OK
IA	05/25/2004 - 08/30/2005	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	OKLAHOMA CITY, OK
B	05/21/2004 - 08/30/2005	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	02/03/2004 - 05/04/2004	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL
IA	01/29/2004 - 05/04/2004	BANC ONE SECURITIES CORPORATION	CRD# 16999	MIDWEST CITY, OK
IA	11/28/2001 - 07/15/2002	MORGAN STANLEY	CRD# 7556	EDMOND, OK
B	04/27/2001 - 07/15/2002	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY

Registration & Employment History

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
10/2019 - Present	Cambridge Investment Research Advisors, Inc.	Investment Advisor Representative	Y	Fairfield, IA, United States
10/2019 - Present	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
11/2013 - Present	NETTWORTH FINANCIAL GROUP	Independent Contractor	N	OKLAHOMA CITY, OK, United States
11/2013 - 10/2019	FSC SECURITIES CORPORATION	REGISTERED REP	Y	OKLAHOMA CITY, OK, 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. CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, AS ADVISORY REP OF A RIA. INV REL-20/WK-20/TRADING. SEE EMPLOYMENT FOR START DATE.

2. FOUR LEAF WINE AND SPIRITS, 6833 N BROADWAY, EDMOND OK, LIQUOR STORE, 10/14/20, OWNER, NIR, 5/WK-0/TRADING

3. Insurance, 6821 N Broadway, Edmond OK 73034, United States, START DATE: 01/01/2001, Insurance Advisor, INDEPENDENT INSURANCE AGENT FOR VARIOUS INDEPENDENT INSURANCE COMPANIES, INV REL, 80 HR/MO - 45 HR/MO TRADING

4. FOUR LEAF WEALTH MANAGEMENT, EDMOND OK 73034, 02/27/2023, Investment Advisor Representative, INVESTMENT ADVISORS DBA FOUR LEAF WEALTH MANAGEMENT THROUGH CAMBRIDGE, INV REL, 40 HR/MO - 130 HR/MO TRADING

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
Judgment/Lien	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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UVEST FINANCIAL SERVICES GROUP, INC.
Allegations:	[CUSTOMER] AS EXECUTOR FOR THE ESTATE OF [CUSTOMER] ALLEGES MISREPRESENTATION AND UNSUITABLITY REGARDING THE PURCHASE OF A MUNICIPAL BOND FUND IN JUNE OF 2007.
Product Type:	Mutual Fund
Alleged Damages:	$14,320.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-03478
Filing date of arbitration/CFTC reparation or civil litigation:	02/12/2010

Customer Complaint Information

Date Complaint Received:	03/01/2010

Complaint Pending?	No
Status:	Settled
Status Date:	10/15/2010
Settlement Amount:	$5,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UVEST FINANCIAL SERVICES GROUP, INC.
Allegations:	[CUSTOMER] AS EXECUTOR FOR THE ESTATE OF [CUSTOMER] ALLEGES MISREPRESENTATION AND UNSUITABLITY REGARDING THE PURCHASE OF A MUNICIPAL BOND FUND IN JUNE OF 2007.
Product Type:	Mutual Fund
Alleged Damages:	$14,320.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-03478
Filing date of arbitration/CFTC reparation or civil litigation:	02/12/2010

Customer Complaint Information

Date Complaint Received:	03/01/2010
Complaint Pending?	No
Status:	Settled
Status Date:	10/15/2010
Settlement Amount:	$5,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UVEST FINANCIAL SERVICES
Allegations:	CUSTOMER ALLEGES UNSUITABLE MUTUAL FUND INVESTMENTS.
Product Type:	Mutual Fund

Alleged Damages:	$75,543.82
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-04806
Filing date of arbitration/CFTC reparation or civil litigation:	08/28/2009

Customer Complaint Information

Date Complaint Received:	08/28/2009
Complaint Pending?	No
Status:	Settled
Status Date:	05/24/2010
Settlement Amount:	$52,500.00
Individual Contribution Amount:	$0.00
Firm Statement	WITHOUT ADMITTING LIABILITY FIRM DETERMINED TO SETTLE CLAIM TO AVOID FURTHER DEFENSE COSTS.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UVEST FINANCIAL SERVICES
Allegations:	CUSTOMER ALLEGES UNSUITABLE MUTUAL FUND INVESTMENTS
Product Type:	Mutual Fund
Alleged Damages:	$75,543.82
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-04806
Filing date of arbitration/CFTC reparation or civil litigation:	08/28/2009

Customer Complaint Information

Date Complaint Received:	08/28/2009

Complaint Pending?	No
Status:	Settled
Status Date:	05/24/2010
Settlement Amount:	$52,500.00
Individual Contribution Amount:	$0.00

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	State of Oklahoma
Judgment/Lien Amount:	$4,905.00
Judgment/Lien Type:	Tax
Date Filed with Court:	02/26/2020
Date Individual Learned:	07/20/2021
Type of Court:	State Court
Name of Court:	Oklahoma Tax Commission
Location of Court:	Edmond, Oklahoma
Judgment/Lien Outstanding?	Yes

End of Report

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