



IAPD Report

Peter Green

CRD# 4378565

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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 Green (CRD# 4378565)

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 **03/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	01/16/2015
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	01/16/2015

QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **22** 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	CITIGROUP GLOBAL MARKETS INC.	7059	ORINDA, CA	08/13/2014 - 01/08/2015
IA	CITIGROUP GLOBAL MARKETS INC.	7059	ORINDA, CA	08/11/2014 - 01/08/2015
B	WELLS FARGO ADVISORS, LLC	19616	FAIRFIELD, CA	01/03/2011 - 08/12/2014

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 **22** jurisdiction(s) and 27 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**
Main Address: 270 PARK AVENUE
NEW YORK, NY 10017
Firm ID#: 79

Regulator	Registration	Status	Date
B 24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B BOX Exchange LLC	General Securities Representative	Approved	01/16/2015
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/25/2018
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/25/2018
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/16/2015
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/25/2018
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/25/2018
B Cboe Exchange, Inc.	General Securities Representative	Approved	01/16/2015
B FINRA	General Securities Representative	Approved	01/16/2015
B FINRA	Invest. Co and Variable Contracts	Approved	10/25/2018
B Investors' Exchange LLC	General Securities Representative	Approved	08/30/2016
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B MEMX LLC	General Securities Representative	Approved	02/16/2021



Qualifications

Regulator	Registration	Status	Date
B MIAX Emerald, LLC	General Securities Representative	Approved	03/19/2019
B MIAX PEARL, LLC	General Securities Representative	Approved	10/25/2018
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	10/25/2018
B NYSE American LLC	General Securities Representative	Approved	01/16/2015
B NYSE Arca, Inc.	General Securities Representative	Approved	01/16/2015
B NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B NYSE Texas, Inc.	General Securities Representative	Approved	01/16/2015
B Nasdaq GEMX, LLC	General Securities Representative	Approved	01/16/2015
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/16/2015
B Nasdaq MRX, LLC	General Securities Representative	Approved	03/24/2016
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/16/2015
B Nasdaq Stock Market	General Securities Representative	Approved	01/16/2015
B Nasdaq Texas, LLC	General Securities Representative	Approved	01/16/2015
B New York Stock Exchange	General Securities Representative	Approved	01/16/2015
B Alaska	Agent	Approved	10/29/2020
B Arizona	Agent	Approved	05/31/2018
B California	Agent	Approved	01/16/2015



Qualifications

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	01/16/2015
B	Colorado	Agent	Approved	03/19/2018
B	Connecticut	Agent	Approved	02/06/2018
B	District of Columbia	Agent	Approved	10/10/2023
B	Florida	Agent	Approved	07/25/2019
B	Hawaii	Agent	Approved	01/08/2025
B	Idaho	Agent	Approved	02/16/2018
B	Illinois	Agent	Approved	09/11/2019
B	Louisiana	Agent	Approved	04/22/2016
B	Maryland	Agent	Approved	01/02/2018
B	Michigan	Agent	Approved	03/30/2018
B	Minnesota	Agent	Approved	05/26/2022
B	Nevada	Agent	Approved	03/17/2017
B	New Jersey	Agent	Approved	06/29/2016
B	North Carolina	Agent	Approved	10/25/2018
B	Ohio	Agent	Approved	10/15/2020
B	Oregon	Agent	Approved	09/09/2021
B	Pennsylvania	Agent	Approved	07/01/2015
B	Texas	Agent	Approved	01/28/2015



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	01/20/2015
B Washington	Agent	Approved	10/17/2017

Branch Office Locations

J.P. MORGAN SECURITIES LLC
1870 SOLANO AVENUE
BERKELEY, CA 94707



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 2 state securities law exams.

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
General Securities Representative Examination (S7)	Series 7	10/08/2001
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/16/2001

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	07/27/2007
Uniform Securities Agent State Law Examination (S63)	Series 63	04/18/2001

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	08/13/2014 - 01/08/2015	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ORINDA, CA
IA	08/11/2014 - 01/08/2015	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ORINDA, CA
B	01/03/2011 - 08/12/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	FAIRFIELD, CA
IA	01/03/2011 - 08/12/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	FAIRFIELD, CA
IA	07/30/2007 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	VACAVILLE, CA
B	05/30/2007 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	VACAVILLE, CA
B	09/24/2004 - 05/30/2007	WM FINANCIAL SERVICES, INC.	CRD# 599	DAVIS, CA
B	06/09/2004 - 09/21/2004	ATLAS SECURITIES, INC.	CRD# 20991	SAN LEANDRO, CA
B	10/03/2003 - 06/10/2004	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA
B	04/17/2001 - 09/24/2002	MCLAUGHLIN, PIVEN, VOGEL SECURITIES, INC.	CRD# 7404	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
01/2018 - Present	JP MORGAN CHASE BANK, N.A.	PRIVATE CLIENT ADVISOR	Y	BERKELEY, CA, United States
01/2025 - 02/2026	DART Solano Water Polo	Employee/Contractor	N	Fairfield, CA, United States
08/2022 - 02/2026	Fairfield Suisun Unified School District - Rodriguez High School	Employee/Contractor	N	Fairfield, CA, United States
12/2014 - 01/2018	J.P. MORGAN SECURITIES LLC	financial advisor	Y	FAIRFIELD, CA, 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.

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
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:	Individual
Employing firm when activities occurred which led to the complaint:	J.P. Morgan Securities LLC
Allegations:	Client alleges poor recommendation/poor advice regarding equity listed and managed account investment. Activity dates 07/12/2016-10/07/2016.
Product Type:	Equity Listed (Common & Preferred Stock) Other: Managed Account
Alleged Damages:	\$26,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/16/2016
Complaint Pending?	No
Status:	Denied
Status Date:	02/17/2017
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00



Broker Statement

This email complaint came months after the client relationship had been reassigned from me to another advisor. During the time the account was under the new advisor the client was never contacted. As a result the client reached out to me because he had not heard from an advisor for some time. This initial correspondence was reviewed by Chase Wealth Management and deemed to be a request for service, not a complaint. Several days went by after this request and review but the advisor still did not reach out to client. I was therefore directed to inform the client that I had moved markets and had not been the advisor servicing his account for several months.

The response to my email was the basis for this complaint to be recorded. Client alleged that I insisted he spread out his investments and that I would provide advice as time moved along and circumstances changed and as result of not providing him advice he was at a loss. I did not contact the client to provide advice or investment recommendations as I was no longer the representative of record on the account, and was observing a professional working courtesy, allowing the current representative to contact their client. The initial investment recommendations made by me to the client, were investments allocated as a broadly diversified portfolio.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO INVESTMENTS, LLC

Allegations: POOR RECOMMENDATION/ADVICE
DATES OF ALLEGED ACTIVITIES: 3/11/2008 - 7/21/2009

Product Type: Debt-Corporate

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NONE STATED, BUT LOSS ON POSITION EXCEEDS \$5,000

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 10/16/2009

Complaint Pending? No

Status: Denied

Status Date: 11/04/2009

Settlement Amount:

Individual Contribution Amount:



End of Report

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