



IAPD Report

PETER J COX

CRD# 4501828

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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 J COX (CRD# 4501828)

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 **05/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	01/08/2018
IA	LPL FINANCIAL LLC	CRD# 6413	02/26/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	MML INVESTORS SERVICES, LLC	10409	LAS VEGAS, NV	01/25/2017 - 01/10/2018
B	UNION GAMING ADVISORS	151592	LAS VEGAS, NV	11/13/2014 - 10/27/2015
B	WELLS FARGO SECURITIES, LLC	126292	NEW YORK, NY	06/04/2008 - 07/29/2014

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
Criminal	1
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 **19** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/08/2018
B	Arizona	Agent	Approved	04/25/2019
B	California	Agent	Approved	01/08/2018
B	Colorado	Agent	Approved	11/07/2019
B	Florida	Agent	Approved	09/13/2018
B	Georgia	Agent	Approved	05/08/2020
B	Hawaii	Agent	Approved	10/04/2019
B	Idaho	Agent	Approved	02/15/2022
B	Illinois	Agent	Approved	04/09/2019
B	Michigan	Agent	Approved	06/25/2021
B	Nevada	Agent	Approved	01/08/2018
IA	Nevada	Investment Adviser Representative	Approved	02/26/2018
B	New Mexico	Agent	Approved	10/21/2020



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	07/21/2020
B Ohio	Agent	Approved	03/04/2021
B Oregon	Agent	Approved	08/24/2018
B Pennsylvania	Agent	Approved	05/30/2024
B Texas	Agent	Approved	06/01/2022
B Utah	Agent	Approved	01/10/2018
B Washington	Agent	Approved	03/13/2019
B Wisconsin	Agent	Approved	03/27/2020

Branch Office Locations

LPL FINANCIAL LLC
 1130 W PIONEER BLVD
 MESQUITE, NV 89027

LPL FINANCIAL LLC
 11035 LAVENDER HILLS DR. #170
 LAS VEGAS, NV 89135

LPL FINANCIAL LLC
 8400 W LAKE MEAD BLVD
 LAS VEGAS, NV 89128

LPL FINANCIAL LLC
 1301 S HWY 160
 PAHRUMP, NV 89048

LPL FINANCIAL LLC
 1460 S BOULDER HWY
 HENDERSON, NV 89015

LPL FINANCIAL LLC
 750 E WARM SPRINGS RD, STE 300
 LAS VEGAS, NV 89119

LPL FINANCIAL LLC
 8260 W SAHARA AVENUE
 LAS VEGAS, NV 89117

LPL FINANCIAL LLC
 1921 N RAINBOW BLVD
 LAS VEGAS, NV 89108

LPL FINANCIAL LLC
 6505 N BUFFALO DR
 LAS VEGAS, NV 89131

LPL FINANCIAL LLC
 3480 W SAHARA AVE
 LAS VEGAS, NV 89102



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
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Limited Representative-Equity Trader Exam (S55)	Series 55	10/11/2006
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General Securities Representative Examination (S7)	Series 7	11/06/2002
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	02/15/2018
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Uniform Securities Agent State Law Examination (S63)	Series 63	12/04/2003
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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:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/25/2017 - 01/10/2018	MML INVESTORS SERVICES, LLC	CRD# 10409	LAS VEGAS, NV
B	11/13/2014 - 10/27/2015	UNION GAMING ADVISORS	CRD# 151592	LAS VEGAS, NV
B	06/04/2008 - 07/29/2014	WELLS FARGO SECURITIES, LLC	CRD# 126292	NEW YORK, NY
B	10/02/1992 - 07/11/2008	BEAR, STEARNS & CO. INC.	CRD# 79	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	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	LAS VEGAS, NV, United States
01/2018 - Present	NEVADA STATE BANK (ZB, N.A.)	Relationship Manager / Registered Representative	Y	LAS VEGAS, NV, United States
01/2017 - 01/2018	MML INVESTORS SERVICES	REGISTERED REP	Y	Las Vegas, NV, United States
08/2016 - 01/2018	MASSMUTUAL LIFE INSURANCE COMPANY	AGENT	Y	Las Vegas, NV, United States
10/2015 - 08/2016	Unemployed	Unemployed	N	Las Vegas, NV, 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) 11/30/2017 - Nevada Wealth Advisors - DBA for LPL Business (entity for LPL business) - inv rel - at reported business location(s)
- 2) 2/20/2018 - ZB, N.A., DBA Wealth & Fiduciary Services - Investment Related - At Reported Business Location(s) - Financial Institution Duty - Start Date:2/9/2018 - 5 Hours Per Month/5 Hours During Trading.
- 3) 12/17/2019 - NSB Wealth Advisors - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 01/01/2020 - 160 Hours Per Month During Securities 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
Criminal	1
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Organization Name (if charge(s) were brought against an organization over which individual exercised control):	N/A
Court Details:	TOWN OF GREENBURGH - TOWN COURT, 188 TARRYTOWN ROAD, WHITE PLAINS, NY 10607. (914)-682-5362. #135/85.
Charge Date:	02/05/1985
Charge Details:	PL 170.10 - FORGERY - 2 ARREST CHARGE PL 165.45 - CRIMINAL POSSESSION STOLEN PROPERTY - 2 ARREST CHARGE 03/19/85 - P.G. TO P1 240.20 - DISORDERLY CONDUCT - PLED GUILTY TO DISORDERLY CONDUCT WITH FELONY CHARGES DROPPED.
Felony?	Yes
Current Status:	Final
Status Date:	03/19/1985
Disposition Details:	CONVICTED OF DISORDERLY CONDUCT 03/19/1985, SENT TO CONDITIONAL DISCHARGE PG. SENTENCE-DISMISSED FORGERY - 03/19/1985. SENTENCE-DISMISSED - POSSESSION OF STOLEN PROPERTY - 03/19/1985.
Broker Statement	MY FRIEND HAD GIVEN ME HIS CREDIT CARD, FORGETTING THAT HE HAD REPORTED IT TO THE CREDIT CARD COMPANY AS MISSING. THIS RESULTED IN THE RESTAURANT CALLING AUTHORITIES AS STOLEN. THE RESTAURANT WAS REINBURSED. ALL CHARGES EXCEPT DISORDERLY CONDUCT WERE DROPPED.



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:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Customer alleges unauthorized trades in May of 2022.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$5,000,000.00
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 #:	25-00893
Filing date of arbitration/CFTC reparation or civil litigation:	05/01/2025

Customer Complaint Information

Date Complaint Received:	05/02/2025
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I deny all allegations of wrongdoing and the claim is without merit. All trades were authorized.



End of Report

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