IAPD Report

ROSS MASON PETERSON

CRD# 4694229

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5

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

ROSS MASON PETERSON (CRD# 4694229)

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 **09/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VANGUARD MARKETING CORPORATION	CRD# 7452	08/14/2025
IA	VANGUARD ADVISERS, INC.	CRD# 106715	08/14/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	STRATEGIC ADVISERS LLC	104555	CHARLOTTE, NC	03/31/2025 - 08/06/2025
B	FIDELITY BROKERAGE SERVICES LLC	7784	CHARLOTTE, NC	06/17/2021 - 08/06/2025
IA	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	JACKSONVILLE, FL	06/23/2021 - 03/31/2025

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? **No**

©2026 FINRA. All rights reserved. Report about ROSS MASON PETERSON.

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

Employment 1 of 2

Firm Name: **VANGUARD MARKETING CORPORATION**

Main Address: 100 VANGUARD BLVD
MALVERN, PA 19355

Firm ID#: 7452

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/14/2025
B	North Carolina	Agent	Approved	08/14/2025

Branch Office Locations

1030 ADMIRAL NELSON CT
CHARLOTTE, NC 28262

CHARLOTTE, NC

Employment 2 of 2

Firm Name: **VANGUARD ADVISERS, INC.**

Main Address: 100 VANGUARD BLVD
MALVERN, PA 19355

Firm ID#: 106715

	Regulator	Registration	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	08/14/2025
IA	Texas	Investment Adviser Representative	Approved	08/14/2025

Branch Office Locations

VANGUARD ADVISERS, INC.
1030 ADMIRAL NELSON CT
CHARLOTTE, NC 28262

©2026 FINRA. All rights reserved. Report about ROSS MASON PETERSON.

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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	09/13/2016

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/09/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/07/2003

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/02/2019
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/29/2003

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.

©2026 FINRA. All rights reserved. Report about ROSS MASON PETERSON.

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	03/31/2025 - 08/06/2025	STRATEGIC ADVISERS LLC	CRD# 104555	CHARLOTTE, NC
B	06/17/2021 - 08/06/2025	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	CHARLOTTE, NC
IA	06/23/2021 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	JACKSONVILLE, FL
B	03/03/2020 - 04/01/2021	P.J. ROBB VARIABLE CORPORATION	CRD# 38339	MEMPHIS, TN
IA	10/02/2019 - 02/10/2020	ALLSTATE FINANCIAL ADVISORS, LLC	CRD# 109524	Woodridge, IL
B	08/08/2014 - 02/10/2020	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	Northbrook, IL
B	11/06/2013 - 07/25/2014	MML INVESTORS SERVICES, LLC	CRD# 10409	CHICAGO, IL
B	10/08/2003 - 11/05/2013	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	SKOKIE, IL

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
08/2025 - Present	THE VANGUARD GROUP, INC.	REGISTERED PERSON	Y	CHARLOTTE, NC, United States
07/2022 - 08/2025	FIDELITY INVESTMENTS	PLANNING CONSULTANT	Y	CHARLOTTE, NC, United States
05/2021 - 07/2022	FIDELITY INVESTMENTS	REMOTE INVESTMENT CONSULTANT	Y	CHARLOTTE, NC, United States
04/2021 - 04/2021	SELF-EMPLOYED	GOLF CADDIE	N	CHARLOTTE, NC, United States
03/2020 - 04/2021	CRUMP LIFE INSURANCE SERVICES	REMOTE INSURANCE STRATIGIST	Y	CHARLOTTE, NC, United States
03/2020 - 04/2021	P.J. ROBB VARIABLE, LLC	REMOTE REGISTERED REPRESENTATIVE	Y	CHARLOTTE, NC, United States

©2026 FINRA. All rights reserved. Report about ROSS MASON PETERSON.

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2020 - 03/2020	CRUMP LIFE INSURANCE SERVICES	INSURANCE STRATIGIST	Y	CHARLOTTE, NC, United States
02/2020 - 03/2020	P.J. ROBB VARIABLE, LLC	REGISTERED REPRESENTATIVE	Y	CHARLOTTE, NC, United States
07/2014 - 02/2020	ALLSTATE INSURANCE COMPANY	AGENCY PROCESS SPECIALIST	Y	NORTHBOOK, IL, 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.

EMPLOYEE OF THE VANGUARD GROUP, INC (PARENT COMPANY OF VANGUARD MARKETING CORPORATION) 100 VANGUARD BLVD, MALVERN, PA 19355

NAME OF BUSINESS: RENTAL PROPERTY
INVESTMENT-RELATED
ADDRESS: CHICAGO, IL
NATURE OF BUSINESS: REAL ESTATE
POSITION: LANDLORD/OWNER
START DATE: 10/2022
APPROXIMATE HOURS/MONTH: 0
HOURS DEVOTED DURING TRADING HOURS: 0
DUTIES: RENTAL PROPERTY

©2026 FINRA. All rights reserved. Report about ROSS MASON PETERSON.

End of Report

This page is intentionally left blank.

©2026 FINRA. All rights reserved. Report about ROSS MASON PETERSON.