



IAPD Report

Peter Giacoma Jr

CRD# 4724448

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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

Peter Giacoma Jr (CRD# 4724448)

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 **01/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CITY NATIONAL SECURITIES, INC.	CRD# 103705	01/24/2025
IA	CITY NATIONAL SECURITIES, INC.	CRD# 103705	01/24/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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	U.S. BANCORP INVESTMENTS, INC.	17868	Las Vegas, NV	07/31/2024 - 01/08/2025
B	U.S. BANCORP INVESTMENTS, INC.	17868	Las Vegas, NV	07/29/2024 - 01/08/2025
B	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Henderson, NV	10/02/2020 - 08/01/2024

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



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

Employment 1 of 1

Firm Name: **CITY NATIONAL SECURITIES, INC.**

Main Address: 555 SOUTH FLOWER STREET
11TH FLOOR
LOS ANGELES, CA 90071

Firm ID#: 103705

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/24/2025
B FINRA	Invest. Co and Variable Contracts	Approved	01/24/2025
B Alabama	Agent	Approved	07/29/2025
B Alaska	Agent	Approved	07/29/2025
B Arizona	Agent	Approved	01/27/2025
IA Arizona	Investment Adviser Representative	Approved	02/05/2025
B Arkansas	Agent	Approved	07/29/2025
B California	Agent	Approved	01/24/2025
IA California	Investment Adviser Representative	Approved	01/24/2025
B Colorado	Agent	Approved	01/24/2025
IA Colorado	Investment Adviser Representative	Approved	01/27/2025
B Connecticut	Agent	Approved	07/29/2025
B Delaware	Agent	Approved	03/13/2025



Qualifications

Regulator	Registration	Status	Date
B District of Columbia	Agent	Approved	07/29/2025
B Florida	Agent	Approved	02/25/2025
B Georgia	Agent	Approved	03/13/2025
B Hawaii	Agent	Approved	07/29/2025
B Idaho	Agent	Approved	07/29/2025
B Illinois	Agent	Approved	07/29/2025
B Indiana	Agent	Approved	07/29/2025
B Iowa	Agent	Approved	07/29/2025
B Kansas	Agent	Approved	07/29/2025
B Kentucky	Agent	Approved	07/29/2025
B Louisiana	Agent	Approved	07/29/2025
B Maine	Agent	Approved	07/29/2025
B Maryland	Agent	Approved	07/29/2025
B Massachusetts	Agent	Approved	07/29/2025
B Michigan	Agent	Approved	07/29/2025
B Minnesota	Agent	Approved	07/29/2025
B Mississippi	Agent	Approved	07/29/2025
B Missouri	Agent	Approved	07/29/2025
B Montana	Agent	Approved	07/29/2025



Qualifications

Regulator	Registration	Status	Date
B Nebraska	Agent	Approved	07/29/2025
B Nevada	Agent	Approved	01/24/2025
IA Nevada	Investment Adviser Representative	Approved	01/27/2025
B New Hampshire	Agent	Approved	07/29/2025
B New Jersey	Agent	Approved	07/29/2025
B New Mexico	Agent	Approved	07/29/2025
B New York	Agent	Approved	07/29/2025
B North Carolina	Agent	Approved	07/29/2025
B North Dakota	Agent	Approved	07/29/2025
B Ohio	Agent	Approved	03/17/2025
B Oklahoma	Agent	Approved	03/13/2025
B Oregon	Agent	Approved	07/29/2025
B Pennsylvania	Agent	Approved	07/29/2025
B Rhode Island	Agent	Approved	07/29/2025
B South Carolina	Agent	Approved	07/29/2025
B South Dakota	Agent	Approved	07/29/2025
B Tennessee	Agent	Approved	07/29/2025
B Texas	Agent	Approved	03/20/2025
IA Texas	Investment Adviser Representative	Restricted	01/31/2025



Qualifications

Regulator	Registration	Status	Date
		Approval	
B Utah	Agent	Approved	01/24/2025
B Vermont	Agent	Approved	07/29/2025
B Virginia	Agent	Approved	02/25/2025
B Washington	Agent	Approved	02/25/2025
B West Virginia	Agent	Approved	07/29/2025
B Wisconsin	Agent	Approved	07/29/2025
B Wyoming	Agent	Approved	07/29/2025

Branch Office Locations

CITY NATIONAL SECURITIES, INC.
10801 WEST CHARLESTON BOULEVARD
2ND FLOOR
LAS VEGAS, NV 89135

CITY NATIONAL SECURITIES, INC.
Henderson, NV



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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	07/29/2024
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	07/07/2010
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/04/2003

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/18/2010
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/06/2003

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
IA	07/31/2024 - 01/08/2025	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	Las Vegas, NV
B	07/29/2024 - 01/08/2025	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	Las Vegas, NV
B	10/02/2020 - 08/01/2024	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Henderson, NV
IA	10/02/2020 - 08/01/2024	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Henderson, NV
B	10/01/2012 - 10/14/2020	J.P. MORGAN SECURITIES LLC	CRD# 79	LAS VEGAS, NV
IA	10/01/2012 - 10/14/2020	J.P. MORGAN SECURITIES LLC	CRD# 79	LAS VEGAS, NV
IA	10/19/2010 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	LAS VEGAS, NV
B	05/02/2009 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	LAS VEGAS, NV
B	09/07/2007 - 05/02/2009	WAMU INVESTMENTS, INC.	CRD# 599	LAS VEGAS, NV
B	01/03/2007 - 03/20/2007	NATCITY INVESTMENTS, INC.	CRD# 17490	ST. CLAIR SHORES, MI
B	07/06/2005 - 01/12/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CLINTON TOWNSHIP, MI
B	11/05/2003 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, 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
01/2025 - Present	City National Securities, Inc.	Financial Advisor Senior	Y	Las Vegas, NV, United States
07/2024 - 01/2025	U.S. Bancorp Investments, Inc.	Wealth Management Advisor	Y	Las Vegas, NV, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2020 - 07/2024	Ameriprise Financial Services, LLC.	Registered Rep	Y	Henderson, NV, United States
10/2020 - 10/2020	Ameriprise Financial Services Inc	Registered Rep	Y	Henderson, NV, United States
10/2012 - 10/2020	J.P. MORGAN SECURITIES LLC	Mass Transfer	Y	LAS VEGAS, NV, United States
04/2007 - 10/2020	WM FINANCIAL SERVICES	LICENSED PERSONAL FINANCIAL REPRESENTATIVE	Y	LAS VEGAS, NV, United States
03/2020 - 03/2020	Ameriprise Financial Services, LLC	Registered Rep	Y	Henderson, 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.

name of the other business: Peter Giacoma

whether the business is investment-related: non investment-related

the address of the other business: 878 Apatite Place, Henderson, Nevada 89011

the nature of the other business: Arts Institution

your position; title, or relationship with the other business: Sole owner and proprietor

the start date of your relationship: 10/27/2025

the approximate number of hours/month you devote to the other business: 0

the number of hours you devote to the other business during securities trading hours: 0

briefly describe your duties relating to the other business: Print on demand shop on Etsy



End of Report

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