



IAPD Report

JENEE C PETERS

CRD# 4729371

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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

JENEE C PETERS (CRD# 4729371)

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 **10/27/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA NAPLES WEALTH PLANNING	CRD# 330316	11/05/2025

QUALIFICATIONS

This representative is currently registered in **0** 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 IMPRINT WEALTH LLC	322130	Naples, FL	06/27/2024 - 09/30/2024
IA IMPRINT WEALTH LLC	322130	Naples, FL	07/21/2023 - 06/17/2024
IA LAIDLAW WEALTH MANAGEMENT LLC	150040	Trinity, FL	12/07/2020 - 08/04/2023

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	5





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 **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **NAPLES WEALTH PLANNING**
Main Address: 3301 BONITA BEACH ROAD
SUITE 308
BONITA SPRINGS, FL 34103
Firm ID#: 330316

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	11/05/2025
	Ohio	Investment Adviser Representative	Approved	11/10/2025

Branch Office Locations

NAPLES WEALTH PLANNING
Tarpon Springs, FL



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, 2 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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B Securities Industry Essentials Examination (SIE)	SIE	06/01/2016
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B General Securities Representative Examination (S7)	Series 7	02/13/2004
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/15/2004
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B Uniform Securities Agent State Law Examination (S63)	Series 63	03/27/2004
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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
IA	06/27/2024 - 09/30/2024	IMPRINT WEALTH LLC	CRD# 322130	Naples, FL
IA	07/21/2023 - 06/17/2024	IMPRINT WEALTH LLC	CRD# 322130	Naples, FL
IA	12/07/2020 - 08/04/2023	LIDLAW WEALTH MANAGEMENT LLC	CRD# 150040	Trinity, FL
IA	07/31/2018 - 12/31/2020	NAPLES WEALTH PLANNING	CRD# 281234	Trinity, FL
IA	06/03/2016 - 12/11/2017	PLATINUM WEALTH PARTNERS	CRD# 145507	TAMPA, FL
IA	09/01/2010 - 06/01/2016	OPPENHEIMER & CO. INC.	CRD# 249	TAMPA, FL
B	08/16/2010 - 06/01/2016	OPPENHEIMER & CO. INC.	CRD# 249	TAMPA, FL
B	11/21/2008 - 08/26/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NORTH OLMSTED, OH
IA	11/21/2008 - 08/26/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NORTH OLMSTED, OH
IA	09/16/2004 - 11/24/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	WESTLAKE, OH
B	02/16/2004 - 11/24/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	WESTLAKE, OH

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
07/2023 - Present	IMPRINT WEALTH LLC DBA NAPLES WEALTH PLANNING	INVESTMENT ADVISOR REPRESENTATIVE	Y	NAPLES, FL, United States
10/2020 - 07/2023	Laidlaw Wealth Management, LLC d/b/a Naples Wealth Planning	Investment Advisor Representative	Y	Naples, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2017 - 10/2020	CapitalRock Financial, LLC d/b/a Naples Wealth Planning	Investment Adviser Representative	Y	Naples, FL, United States
05/2016 - 12/2017	Platinum Wealth Partners	Partner, Wealth Management	Y	Tampa, FL, United States
08/2010 - 05/2016	OPPENHEIMER & CO. INC.	TAMPA	Y	TAMPA, FL, 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)THE PETERS GROUP, L.L.C. - General Partner - 10620 Pontofino Circle, Trinity, FL 34655 - Business Planning Purposes - Not investment-related - 02/21/2017 - Zero Hours
- 2)D&J LIMITED PARTNERSHIP - GENERAL PARTNER - NON-INVESTMENT RELATED - NATURE - ESTATE PLANNING PURPOSES - 10620 Pontofino Circle, Trinity, FL 34655 - START DATE - 08/09/2010 - ZERO HOURS
- 3)MARRIAGE MISTAKE, LLC - LIMITED PARTNER - INVESTMENT RELATED - NATURE - WEBSITE - 1220 FOX HILL DRIVE, GATES MILLS, OH 44040 - Start Date - 11/09/2008 - Zero Hours
- 4)INSURANCE SALE WITH VARIOUS INSURANCE COMPANIES - SAME LOCATION - NON-INVESTMENT RELATED - <5% OF TIME DEVOTED TO ACTIVITY.
- 5) TAMPA BAY BODY SCULPTING - INVESTMENT-RELATED - 6912 W. LINEBAUGH AVE, 101, TAMPA, FL 33625 - OWNER - 12/7/2016 - <5% OF TIME DEVOTED TO ACTIVITY.
- 6)FLORIDA BOARD OF NURSING - NOT INVESTMENT-RELATED - CONSUMER MEMBER - 4052 BALD CYPRESS WAY, BIN C-02, TALLAHASSEE, NON-U.S. 32399-3252 - BOARD MEMBER - 12/15/2022 - <5% OF TIME DEVOTED TO ACTIVITY - REVIEW LICENSING FOR NURSES IN THE STATE OF FLORIDA.



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	5

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 5

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	Oppenheimer & Co., Inc.
Allegations:	Negligence; unsuitable recommendations; negligent management of the account; violations of the Ohio Securities Act; and breach of contract.
Product Type:	Other: various accounts and equities
Alleged Damages:	\$34,603.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #14-00824
Date Notice/Process Served:	03/14/2014
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	09/26/2014
Disposition Detail:	Peters was a subject of the customer's Statement of Claim for this arbitration alleging that she with her member firm contributed to the sales practice violations. Respondent, Oppenheimer & Co., Inc., is liable for and shall pay to the Claimant \$14,000.00 in compensatory damages.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLAIMANT ALLEGES HER FINANCIAL ADVISOR INVESTED IN UNSUITABLE INVESTMENTS DURING THE TIME PERIOD SEPTEMBER 2010 THROUGH NOVEMBER 2013

Product Type: Equity-OTC

Alleged Damages: \$34,603.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 14-00824

Filing date of arbitration/CFTC reparation or civil litigation: 03/14/2014

Customer Complaint Information

Date Complaint Received: 03/24/2014

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 09/26/2014

Settlement Amount: \$14,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMERS ALLEGE UNSUITABLE INVESTMENT RECOMMENDATIONS AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS FROM AUGUST 2009 TO AUGUST 2010..

Product Type: Annuity-Variable
Mutual Fund

Alleged Damages: \$245,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes



Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 12-04254

Filing date of arbitration/CFTC reparation or civil litigation: 05/31/2013

Customer Complaint Information

Date Complaint Received: 07/31/2013

Complaint Pending? No

Status: Settled

Status Date: 01/17/2014

Settlement Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH BARNEY/OPPENHEIMER & CO. INC.

Allegations: CLAIMANTS ALLEGE THEIR FINANCIAL ADVISOR MADE UNSUITABLE RECCOMENDATIONS IN VARIOUS EQUITIES & UNIT'S DURING OCTOBER 2010 - SEPTEMBER 2011.

Product Type: Unit Investment Trust

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): ALLEGED DAMAGES BETWEEN \$100,000 AND 500,000.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 12-04254

Filing date of arbitration/CFTC reparation or civil litigation: 12/17/2012

Customer Complaint Information

Date Complaint Received: 01/02/2013

Complaint Pending? No

Status: Settled

Status Date: 02/24/2014



Settlement Amount: \$175,000.00

Individual Contribution Amount: \$0.00

Broker Statement THIS WAS INITIATED AT MERRILL LYNCH FROM 8/2009 - 8/2010 AND CONTINUED AT OPPENHEIMER DURING 10/2010 - 9/2011. MERRILL LYNCH HAS SETTLED THIS CLAIM FOR \$100,000. WITHOUT ADMITTING ANY LIABILITY, OPPENHEIMER SETTLED THE MATTER FOR \$75,000 TO AVOID THE TIME, COST AND EXPENSE OF ARBITRATION.

Disclosure 3 of 5

Reporting Source: Firm

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

Allegations: CLIENT ALLEGES CHURNING/EXCESSIVE TRADING, MISREPRESENTATION AND/OR MISLEADING INFORMATION AND UNSUITABLE INVESTMENTS. (1/1/07 - 11/30/08)

Product Type: Other: MISCELLANEOUS

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): ALLEGES DAMAGES UNSPECIFIED, BELIEVED TO EXCEED \$5000.

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: 12/19/2012

Complaint Pending? No

Status: Denied

Status Date: 01/16/2013

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES CHURNING/EXCESSIVE TRADING, MISREPRESENTATION AND/OR MISLEADING INFORMATION AND UNSUITABLE INVESTMENTS. (1/1/07 - 11/30/09)

Product Type: Other: MISCELLANEOUS



Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): ALLEGES DAMAGES UNSPECIFIED, BELIEVED TO EXCEED \$5000.

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: 12/19/2012

Complaint Pending? No

Status: Denied

Status Date: 01/16/2013

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMER ALLEGES EXCESSIVE TRADING FROM NOVEMBER 2008 TO AUGUST 2010.

Product Type: Mutual Fund

Alleged Damages: \$130,000.00

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: 11/19/2012

Complaint Pending? No

Status: Denied

Status Date: 01/15/2013

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMER ALLEGES EXCESSIVE TRADING FROM NOVEMBER 2008 TO AUGUST 2010.

Product Type: Mutual Fund

Alleged Damages: \$130,000.00

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: 11/19/2012

Complaint Pending? No

Status: Denied

Status Date: 01/15/2013

Settlement Amount:

Individual Contribution Amount:

Broker Statement "THE ACCOUNT WAS INHERITED AND IN MY REP FOR A TOTAL OF THREE MONTHS. NO TRADES WERE EXECUTED BEYOND LIQUIDATIONS TO COVER DISTRIBUTIONS. COMPLAINT IS UNFOUNDED."

Disclosure 5 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: UNSUITABLE AND UNAUTHORIZED TRANSACTIONS. UNSUITABLE SECURITIES WERE PURCHASED ON JANUARY 19, 2011 AND MARCH 3RD & 4TH, 2011. THE MARCH 3RD AND 4TH TRANSACTIONS WERE ALSO ALLEGED TO HAVE BEEN UNAUTHORIZED.

Product Type: Equity-OTC

Alleged Damages: \$58,232.00

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: 03/08/2012

Complaint Pending? No

Status: Denied



Status Date: 03/13/2012

Settlement Amount:

**Individual Contribution
Amount:**



End of Report

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