



IAPD Report

PETER MICHAEL TORABKHAN

CRD# 5612483

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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 MICHAEL TORABKHAN (CRD# 5612483)

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 **07/01/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ALLIED MILLENNIAL PARTNERS, LLC	CRD# 16569	11/04/2011
IA	MILLENNIAL ADVISERS, LLC.	CRD# 170847	01/16/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **49** 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	MILLENNIAL ADVISERS, LLC.	170847	NEW YORK, NY	07/06/2017 - 12/31/2019
B	AEGIS CAPITAL CORP.	15007	NEW YORK, NY	03/29/2010 - 11/01/2011
B	GUNNALLEN FINANCIAL, INC	17609	NEW YORK, NY	11/05/2009 - 03/30/2010

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
Regulatory Event	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 49 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **MILLENNIAL ADVISERS, LLC.**
Main Address: THREE WORLD FINANCIAL
200 VESEY STREET 24TH FLOOR
NEW YORK, NY 10281
Firm ID#: 170847

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	04/01/2021

Branch Office Locations

MILLENNIAL ADVISERS, LLC.
THREE WORLD FINANCIAL
200 VESEY STREET 24TH FLOOR
NEW YORK, NY 10281

Employment 2 of 2

Firm Name: **ALLIED MILLENNIAL PARTNERS, LLC**
Main Address: THREE WORLD FINANCIAL CENTER
200 VESEY STREET 24TH FL
NEW YORK, NY 10281
Firm ID#: 16569

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	11/04/2011
B FINRA	General Securities Representative	Approved	11/04/2011
B FINRA	Operations Professional	Approved	12/08/2011
B Alabama	Agent	Approved	11/18/2011
B Alaska	Agent	Approved	04/28/2015



Qualifications

Regulator	Registration	Status	Date
B Arizona	Agent	Approved	11/21/2011
B Arkansas	Agent	Approved	12/16/2011
B California	Agent	Approved	11/14/2011
B Colorado	Agent	Approved	07/02/2012
B Connecticut	Agent	Approved	12/01/2011
B Delaware	Agent	Approved	12/08/2014
B District of Columbia	Agent	Approved	11/17/2011
B Florida	Agent	Approved	02/14/2012
B Georgia	Agent	Approved	11/21/2011
B Hawaii	Agent	Approved	06/15/2017
B Idaho	Agent	Approved	12/07/2011
B Illinois	Agent	Approved	11/17/2011
B Indiana	Agent	Approved	12/01/2011
B Iowa	Agent	Approved	11/23/2011
B Kansas	Agent	Approved	02/02/2012
B Kentucky	Agent	Approved	07/01/2013
B Louisiana	Agent	Approved	08/06/2015
B Maine	Agent	Approved	08/17/2012
B Maryland	Agent	Approved	11/28/2011



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	10/04/2012
B Minnesota	Agent	Approved	11/21/2011
B Mississippi	Agent	Approved	01/30/2013
B Missouri	Agent	Approved	04/15/2015
B Montana	Agent	Approved	05/08/2015
B Nebraska	Agent	Approved	03/09/2012
B Nevada	Agent	Approved	03/08/2018
B New Hampshire	Agent	Approved	01/14/2016
B New Jersey	Agent	Approved	07/02/2012
B New Mexico	Agent	Approved	10/28/2013
B New York	Agent	Approved	11/04/2011
B North Carolina	Agent	Approved	11/21/2011
B North Dakota	Agent	Approved	03/19/2012
B Ohio	Agent	Approved	02/19/2013
B Oklahoma	Agent	Approved	08/06/2015
B Oregon	Agent	Approved	11/15/2011
B Pennsylvania	Agent	Approved	12/07/2011
B Rhode Island	Agent	Approved	07/03/2012
B South Carolina	Agent	Approved	07/09/2012



Qualifications

Regulator	Registration	Status	Date
B South Dakota	Agent	Approved	03/02/2012
B Texas	Agent	Approved	12/07/2011
B Utah	Agent	Approved	12/08/2014
B Vermont	Agent	Approved	02/29/2012
B Virginia	Agent	Approved	11/09/2011
B Washington	Agent	Approved	01/09/2012
B West Virginia	Agent	Approved	07/30/2015
B Wisconsin	Agent	Approved	11/10/2011
B Wyoming	Agent	Approved	02/10/2015

Branch Office Locations

EJ STERLING STRATEGIC WEALTH MANAGEMENT
THREE WORLD FINANCIAL CENTER
200 VESEY STREET 24TH FL
NEW YORK, NY 10281



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
 General Securities Principal Examination (S24)	Series 24	09/15/2011

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/05/2008

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/30/2016
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/10/2008

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	07/06/2017 - 12/31/2019	MILLENNIAL ADVISERS, LLC.	CRD# 170847	NEW YORK, NY
B	03/29/2010 - 11/01/2011	AEGIS CAPITAL CORP.	CRD# 15007	NEW YORK, NY
B	11/05/2009 - 03/30/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	NEW YORK, NY
B	11/19/2008 - 11/13/2009	NATIONAL SECURITIES CORPORATION	CRD# 7569	NEW YORK, NY
B	11/06/2008 - 11/18/2008	GUNNALLEN FINANCIAL, INC	CRD# 17609	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
07/2016 - Present	MILLENNIAL ADVISERS, LLC	Investment Adviser Representative	Y	NEW YORK, NY, United States
10/2011 - Present	Allied Millennial Partners, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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.) PMFT LLC-Non-investment Related Real Estate Holding Co. President. Appx. 2 hours/month to manage the property. Start date 9/2/2020.
- 2.) S&T 68 West House LLC - Non- Investment Related Real Estate Holding Company. Albany NY. President. Appx. 5 hours/month outside of trading hours. Manage property/bookkeeping. Start date December 2021.
- 3.) Real Estate License - William Pitt Sotheby's Referral Services LLC, Non-investment related, Appx. 5 hrs/mo., New York, NY, start May 2023.
- 4.) PMT Property Management LLC. CEO. Appx. 5 hrs/mo. Not investment related. Albany, NY. Manage and maintain real estate holdings. Start date January 2024.
- 5.) Vanbridge - Insurance Agent - Investment Related - New York, NY - 10 hrs/mo - July 2025



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/13/2018
Docket/Case Number:	2016050114801
Employing firm when activity occurred which led to the regulatory action:	E.J. Sterling, LLC
Product Type:	Other: Unspecified securities
Allegations:	Without admitting or denying the findings, Torabkhan consented to the sanctions and to the entry of findings that he exercised discretion in the accounts of customers without having obtained written authorization from the customers to place discretionary trades and without his member firm having accepted the accounts as discretionary.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/13/2018



Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All capacities

Duration: 10 business days

Start Date: 04/02/2018

End Date: 04/13/2018

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$2,500.00

Portion Levied against individual: \$2,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 04/18/2018

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement Fines paid in full on April 18, 2018.

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 03/13/2018

Docket/Case Number: [2016050114801](#)



Employing firm when activity occurred which led to the regulatory action:	E.J.Sterling,LLC
Product Type:	Other: Unspecified securities
Allegations:	Without admitting or denying the findings, Torabkhan consented to the sanctions and to the entry of findings that he exercised discretion in the accounts of customers without having obtained written authorization from the customers to place discretionary trades and without his member firm having accepted the accounts as discretionary.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/13/2018
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	10 business days
Start Date:	04/02/2018
End Date:	04/13/2018
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,500.00
Portion Levied against individual:	\$2,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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