



IAPD Report

PETER ERNEST DOLAN

CRD# 713220

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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 ERNEST DOLAN (CRD# 713220)

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 **04/24/2026**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|--|-------------|------------------|
| IA | STEWARD PARTNERS INVESTMENT ADVISORY, LLC | CRD# 283004 | 06/10/2020 |
| B | STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC | CRD# 1254 | 05/27/2022 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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 | RAYMOND JAMES FINANCIAL SERVICES, INC. | 6694 | St. Louis, MO | 06/12/2020 - 05/27/2022 |
| IA | ROYAL ALLIANCE ASSOCIATES, INC. | 23131 | ST. LOUIS, MO | 11/17/1999 - 06/15/2020 |
| B | ROYAL ALLIANCE ASSOCIATES, INC. | 23131 | ST. LOUIS, MO | 11/19/1989 - 06/15/2020 |

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 |
| 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 **23** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC**
Main Address: 15495 SW SEQUOIA PARKWAY
SUITE 150
PORTLAND, OR 97224
Firm ID#: 1254

| Regulator | Registration | Status | Date |
|-------------------------------|-----------------------------------|----------|------------|
| B FINRA | General Securities Principal | Approved | 05/27/2022 |
| B FINRA | General Securities Representative | Approved | 05/27/2022 |
| B Arizona | Agent | Approved | 05/27/2022 |
| B Arkansas | Agent | Approved | 05/27/2022 |
| B California | Agent | Approved | 05/27/2022 |
| B Colorado | Agent | Approved | 05/27/2022 |
| B District of Columbia | Agent | Approved | 05/27/2022 |
| B Florida | Agent | Approved | 05/31/2022 |
| B Illinois | Agent | Approved | 05/27/2022 |
| B Kansas | Agent | Approved | 05/27/2022 |
| B Maryland | Agent | Approved | 05/27/2022 |
| B Michigan | Agent | Approved | 05/27/2022 |
| B Minnesota | Agent | Approved | 05/27/2022 |



Qualifications

| Regulator | Registration | Status | Date |
|-------------------------|--------------|----------|------------|
| B Missouri | Agent | Approved | 05/27/2022 |
| B Nevada | Agent | Approved | 05/27/2022 |
| B New Jersey | Agent | Approved | 05/27/2022 |
| B North Carolina | Agent | Approved | 05/27/2022 |
| B Oregon | Agent | Approved | 05/27/2022 |
| B Pennsylvania | Agent | Approved | 05/27/2022 |
| B Tennessee | Agent | Approved | 05/27/2022 |
| B Texas | Agent | Approved | 05/27/2022 |
| B Virginia | Agent | Approved | 05/27/2022 |
| B Washington | Agent | Approved | 05/27/2022 |
| B Wisconsin | Agent | Approved | 05/27/2022 |
| B Wyoming | Agent | Approved | 05/27/2022 |

Branch Office Locations

STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC
 101 S Hanley
 Suite 1350
 St. Louis, MO 63105

STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC
 ST. LOUIS, MO

STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC
 HEALDSBURG, CA

Employment 2 of 2

Firm Name: **STEWARD PARTNERS INVESTMENT ADVISORY, LLC**
 Main Address: 400 ATLANTIC STREET
 FLOOR 10, SUITE 1020
 STAMFORD, CT 06901-3512
 Firm ID#: 283004



Qualifications

| Regulator | Registration | Status | Date |
|-------------|-----------------------------------|---------------------|------------|
| IA Missouri | Investment Adviser Representative | Approved | 06/16/2020 |
| IA Texas | Investment Adviser Representative | Restricted Approval | 06/10/2020 |

Branch Office Locations

STEWARD PARTNERS INVESTMENT ADVISORY, LLC
101 South Hanley Road
Suite 1350
St. Louis, MO 63105

STEWARD PARTNERS INVESTMENT ADVISORY, LLC
ST. LOUIS, MO

STEWARD PARTNERS INVESTMENT ADVISORY, LLC
HEALDSBURG, CA




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 | 01/09/1995 |

General Industry/Product Exams

| Exam | Category | Date |
|--|----------|------------|
|  Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  General Securities Representative Examination (S7) | Series 7 | 09/15/1984 |
|  Registered Representative Examination (S1) | Series 1 | 07/29/1980 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
|  Uniform Investment Adviser Law Examination (S65) | Series 65 | 05/02/2016 |
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 01/28/1981 |

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 | 06/12/2020 - 05/27/2022 | RAYMOND JAMES FINANCIAL SERVICES, INC. | CRD# 6694 | St. Louis, MO |
| IA | 11/17/1999 - 06/15/2020 | ROYAL ALLIANCE ASSOCIATES, INC. | CRD# 23131 | ST. LOUIS, MO |
| B | 11/19/1989 - 06/15/2020 | ROYAL ALLIANCE ASSOCIATES, INC. | CRD# 23131 | ST. LOUIS, MO |
| IA | 10/13/1999 - 12/31/2011 | PLAZA FINANCIAL ADVISORS INC | CRD# 109593 | ST. LOUIS, MO |
| B | 03/12/1987 - 11/19/1989 | INTEGRATED RESOURCES EQUITY CORPORATION | CRD# 6403 | |
| B | 03/03/1985 - 01/19/1987 | PLANVEST CAPITAL CORPORATION | CRD# 14849 | |
| B | 08/07/1980 - 02/11/1985 | EQUITEC SECURITIES COMPANY | CRD# 6463 | |

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 |
|-------------------|--|-----------------------------------|--------------------|------------------------------|
| 05/2022 - Present | STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC | REGISTERED REPRESENTATIVE | Y | St. Louis, MO, United States |
| 06/2020 - Present | STEWARD PARTNERS INVESTMENT ADVISORY, LLC | INVESTMENT ADVISER REPRESENTATIVE | Y | St. Louis, MO, United States |
| 01/2012 - Present | PLAZA ADVISORY GROUP INC. | VICE PRESIDENT | Y | ST. LOUIS, MO, United States |
| 06/2020 - 05/2022 | Raymond James Financial Services, Inc. | Financial Advisor | Y | St. Louis, MO, United States |
| 11/1989 - 06/2020 | ROYAL ALLIANCE ASSOCIATES, INC. | OTHER - REPRESENTATIVE | Y | ST. LOUIS, MO, United States |



Registration & Employment History

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) Name of Business: Steward Partners Global Advisory

Address: Saint Louis, MO

Activity Type: Non-variable Insurance

Position/Title: Agent

Investment Related: Yes

Start Date: 06/09/2020

Hours per month devoted to this business: 2-10

Hours per month devoted to this business during trading hours: 2-10

Description of duties: Install insurance products

2) STEWARD PARTNERS INVESTMENT ADVISORY,LLC:INVESTMENT RELATED:6/2020-PRESENT: ST. LOUIS, MO:IAR; FINANCIAL SERVICES:0 HRS/MO:0 HRS DURING TRADING:INVESTMENT ADVISOR REPRESENTATIVE.

3) Name of Business:

Address: 101 S Hanley Rd Ste 1350, St. Louis, MO, 63105

Activity Type: Other

Position/Title: Author

Investment Related: Yes

Start Date: 02/01/2014

Hours per month devoted to this business: 0-1

Hours per month devoted to this business during trading hours: 0-1

Description of duties: author

4) Plaza Advisory Group, LLC.

Address: Saint Louis, MO

Nature of the Business: Support Company/DBA (Owner)

Position/Title: Support Company/DBA (Owner)

Investment Related: No

Start Date: 08/01/1985

Hours per month devoted to this business: 0

Hours per month devoted to this business during trading hours: 0

Description of duties: Financial Advisor.

5)Mendocino Farming Company

Address: Ukiah, CA

Nature of the Business: Other (unpaid)

Position/Title: Other (unpaid)

Investment Related: Yes

Start Date: 02/09/2012

Hours per month devoted to this business: 5

Hours per month devoted to this business during trading hours: 0

Description of duties: Passive Investor



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 |
| Customer Dispute | 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: GEORGIA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/13/1983

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: EQUITEC SECURITIES CO.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Order

Resolution Date: 10/13/1983

Regulator Statement STATE OF GEORGIA, COMMISSIONER OF SECURITIES, CASE NO. 50-83-8013. IN THE MATTER OF: THE REGISTRATION AS A SECURITIES DEALER, EQUITEC SECURITIES COMPANY, AND PETER DOLAN, RESPONDENTS. THE COMMISSION HAS ORDERED AN OFFICIAL REPRIMAND TO THE RESPONDENTS AFTER A COMMISSION'S BROKER-DEALER



EXAMINATION REVEALED THAT THE FIRM HAD FAILED TO NOTIFY THE COMMISSIONER OF A CHANGE IN ADDRESS OF EQUITEC'S BRANCH OFFICE; FAILED TO PROPERLY IDENTIFY SAID BRANCH OFFICE; AND THE FIRM FAILED TO PROPERLY SUPERVISE DOLAN IN THE OFFER AND SALE OF SECURITIES TO A GEORGIA RESIDENT AT A TIME WHEN HE WAS NOT REGISTERED WITHIN THE STATE. ON AUGUST 11, 1983, THE COMMISSIONER'S STAFF MET WITH THE REPRESENTATIVES OF THE FIRM AND, AS A RESULT, ALL VIOLATIONS WERE CORRECTED. DECISION RENDERED OCTOBER 13, 1983.

Reporting Source: Individual

Regulatory Action Initiated By: COMMISSIONER OF SECURITIES, STATE OF GEORGIA

Sanction(s) Sought: Reprimand

Other Sanction(s) Sought:

Date Initiated: 10/18/1983

Docket/Case Number: 50-83-8013

Employing firm when activity occurred which led to the regulatory action: EQUITEC SECURITIES CO.

Product Type: No Product

Other Product Type(s):

Allegations: THE COMMISSIONER ALLEGED THAT EQUITEC SECURITIES CO. AND MR. DOLAN HAD FAILED TO NOTIFY THE COMMISSIONER OF A CHANGE IN ADDRESS OF THE COMPANY'S BRANCH OFFICE AND, THEREBY FAILED TO PROPERLY IDENTIFY THE OFFICE AS REQUIRED BY GEORGIA LAW; AND THAT THE COMPANY FAILED TO PROPERLY SUPERVISE MR. DOLAN IN THE OFFER AND SALE OF SECURITIES OF RESIDENTS OF THE STATE AT A TIME WHEN HE WAS NOT REGISTERED

Current Status: Final

Resolution: Order

Resolution Date: 10/18/1983

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: REPRIMAND



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: | PLAZA FINANCIAL |
| Allegations: | CUSTOMER ALLEGED NEGLIGENCE AND FRAUD IN CONNECTION WITH THE PROVISION OF INVESTMENT SERVICES |
| Product Type: | No Product |
| Alleged Damages: | \$25,000.00 |

Customer Complaint Information

Date Complaint Received: 09/16/1993

Complaint Pending?

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: ST. LOUIS CITY - CASE NUMBER 932-08585

Date Notice/Process Served: 09/16/1993

Litigation Pending? No

Disposition: Settled

Disposition Date: 06/26/1996

Monetary Compensation Amount: \$17,500.00

Individual Contribution Amount: \$0.00



End of Report

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