

BrokerCheck Report

PETER ALVIN BILL

CRD# 825738

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Events	6

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

PETER A. BILL

CRD# 825738

This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

TRADINGBLOCK

CRD# 128605
Berlin, NH
02/2015 - 11/2017

PURSHE KAPLAN STERLING INVESTMENTS

CRD# 35747
BERLIN, NH
07/2012 - 02/2015

BROKERSXPRESS LLC

CRD# 127081
BERLIN, NH
12/2007 - 07/2012

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	1
Financial	3

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received 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 Sales Supervisor Examination (Options Module & General Module)	Series 8	10/23/1986

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	11/15/2017
General Securities Representative Examination	Series 7	01/18/1986
Registered Representative Examination	Series 1	08/05/1976

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	09/30/1998
Uniform Securities Agent State Law Examination	Series 63	11/26/1986

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
02/2015 - 11/2017	TRADINGBLOCK	128605	Berlin, NH
07/2012 - 02/2015	PURSHE KAPLAN STERLING INVESTMENTS	35747	BERLIN, NH
12/2007 - 07/2012	BROKERSXPRESS LLC	127081	BERLIN, NH
10/2005 - 12/2007	AIG FINANCIAL ADVISORS, INC.	133763	BERLIN, NH
05/1992 - 10/2005	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ
01/1983 - 05/1992	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	5774	
10/1976 - 12/1982	CORNERSTONE FINANCIAL SERVICES, INC.	953	
08/1976 - 12/1976	GLENWOOD SECURITIES, INC.	2015	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment Dates	Employer Name	Employer Location
07/2012 - Present	PURSHE KAPLAN STERLING INVESTMENTS	ALBANY, NY
12/2007 - Present	SCANWOOD LTD. INC.	BERLIN, NH
10/1975 - Present	PETER A BILL AGENCY	MILAN, NH
12/2007 - 07/2012	BROKERSXPRESS	CHICAGO, IL

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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)SCANWOOD LTD, INC/PRESIDENT/INVESTMENT ADVISOR - RIA FEE BASED INVESTMENT ADVISORY



Registration and Employment History

Other Business Activities, continued

SERVICE, START 12/2007, APPROX 30 HRS PER MONTH, INVESTMENT RELATED. 179 COLE ST. BERLIN NH 03570. MANAGE INVESTMENT ACCOUNTS.

2)PETER A. BILL AGENCY/OWNER/AGENT - SALES OF LIFE & HEALTH INSURANCE. START DATE 10/1976, APPROX 1HRS PER MONTH, NOT INVESTMENT RELATED.

2)PETER BILL RENTAL PROPERTIES- OWN AND RENT 3 COMMERCIAL RENTAL PROPERTIES, NOT INVESTMENT RELATED, BERLIN NH 03570. 5HRS PMONTH- NONE DURING TRADING. 1980.

3) PKS FINANCIAL SERVICES, 7/13/2012-PRESENT, FIXED INSURANCE SALES

4) Mueller Reports; Home insurance photos and measurements for property insurance. Not Investment related, paid a salary and devote approximately 60 hours per month.



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Customer Dispute	0	1	N/A
Financial	0	3	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NEW HAMPSHIRE BUREAU
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/09/1997
Docket/Case Number:	INV-95-013
Employing firm when activity occurred which led to the regulatory action:	SUNAMERICA SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	RESPONDENTS SUNAMERICA SECURITIES, BROKER-DEALER, AND PETER A. BILL, AGENT OF SUNAMERICA LOCATED IN THE BERLIN, NEW HAMPSHIRE OFFICE, FAILED TO KEEP ADEQUATE BOOKS AND RECORDS IN THE BERLIN NEW HAMPSHIRE OFFICE, THEREBY VIOLATING NH ATG-SE 505.05.
Current Status:	Final



Resolution: Consent

Resolution Date: 05/09/1997

Sanctions Ordered: Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: CONSENT AGREEMENT. WITHOUT ADMITTING OR DENYING THE FINDINGS OF FACT OR CONCLUSIONS OF LAW, NEW HAMPSHIRE BUREAU FOUND THAT RESPONDENTS VIOLATED THE RECORD KEEPING REQUIREMENTS OF THE STATE OF NEW HAMPSHIRE BY FAILING TO KEEP ADEQUATE BOOKS AND RECORDS PURSUANT TO NH ATG-SE 501.05. RESPONDENTS AGREED TO PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$2,500 AND AGREED TO HAVE THE BUREAU CONDUCT AN ON-SIGHT EXAMINATION OF THE BERLIN OFFICE. BASED ON THE AGREED TO EXAMINATION, THE BUREAU IS LEFT WITH THE DISCRETION TO IMPOSE FURTHER SUPERVISORY CONDITIONS ON RESPONDENT PETER A. BILL SUCH AS THE ASSIGNMENT OF A QUALIFIED PRINCIPAL TO THE BERLIN OFFICE, THE REVIEW OF EACH AND EVERY TRADE MADE BY PETER A. BILL, AND DETERMINING WHETHER PETER A. BILL HAS RECOMMENDED SUITABLE INVESTMENTS FOR HIS CLIENTS, AND OTHERS.

Regulator Statement SEE RESULTS. CONTACT: NEW HAMPSHIRE (603) 271-1463

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF NEW HAMPSHIRE SEC

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/09/1997

Docket/Case Number: INV-95-013

Employing firm when activity occurred which led to the regulatory action: SUNAMERICA SECURITIES, INC.

Product Type: No Product

Other Product Type(s):

Allegations: RECORD KEEPING VIOLATIONS OF THE STATE OF NEW



HAMPSHIRE.

Current Status:

Final

Resolution:

Consent

Resolution Date:

05/09/1997

Sanctions Ordered:

Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details:

VIOLATION OF NEW HAMPSHIRE REGULATION ATG-SE 501.05. ADMINISTRATIVE FINE OF \$2,500.00. IF AFTER THE NEXT STATE EXAMINATION, VIOLATIONS NOT CORRECTED COULD RESULT IN THE STATE REQUIRING A PRINCIPAL TO SUPERVISE PETER BILL FOR UP TO 18 MONTHS. A PRINCIPAL FROM SUNAMERICA MUST PERSONALLY VISIT THE BERLIN NH BRANCH OFFICE EACH 6 MONTHS FOR 18 MONTHS TO CONDUCT A COMPLIANCE EXAM.

Broker Statement

THE STATE OF NH SEC DID A FOLLOW UP EXAMINATION ON 12/15/98. RESULTS OF THE EXAMINATION SHOWED THAT ALL BOOKS AND RECORDS WERE IN ORDER, PREVIOUS VIOLATIONS CORRECTED, NO IMPROPRIETY OR UNETHICAL BUSINESS PRACTICES, AND NO ADDITIONAL REQUIREMENTS FOR SUPERVISION.



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SUNAMERICA SECURITIES, INC.
Allegations:	ACCOUNT RELATED - FAILURE TO SUPERVISE; BRCH OF FIDUCIARY DT; UNAUTHORIZED TRADING; SUITABILITY
Product Type:	
Alleged Damages:	\$365,000.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN - CASE #96-01324
Date Notice/Process Served:	04/03/1996
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/13/1996
Disposition Detail:	CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: SUNAMERICA SECURITIES, INC.

Allegations: CLIENT ALLEGED VIOLATIONS OF MISREPRESENTED FACTS, UNAUTHORIZED TRANSACTIONS AND MISLEADING STATEMENTS.

Product Type:

Alleged Damages: \$365,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 96-01324

Date Notice/Process Served: 04/03/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/13/1996

Monetary Compensation Amount: \$39,000.00

Individual Contribution Amount:

Broker Statement MR. PETER BILL, ANCHOR NATIONAL FINANCIAL SERVICES AND SUNAMERICA SECURITIES, INC. REACHED A SETTLEMENT IN THE AMOUNT OF \$39,000, THROUGH MEDIATION. CLIENTS INVESTED APPROXIMATELY \$107,600.00 OVER A FOUR(4) YEAR PERIOD WHILE MAKING WITHDRAWALS OF APPROXIMATELY \$100,000.00 OVER THE SAME PERIOD OF TIME. THEY TRANSFERRED A



REMAINING BALANCE OF APPROXIMATELY \$20,000.00 TO ANOTHER
BROKER. CLIENTS STATED THAT THEY BELIEVED THAT THEY WERE
WITHDRAWING EARNINGS ONLY FROM THEIR ACCOUNTS. EVEN THOUGH
THE
ACCOUNT WAS PROFITABLE, THE CLIENTS FILED AN ARBITRATION CLAIM.
ON THE ADVICE OF THE ATTORNEYS, WE SETTLED FOR A SMALL
FRACTION
OF THE CLAIM THROUGH MEDIATION TO AVOID COST AND EXPENSE.



Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 3

Reporting Source:	Broker
Action Type:	Bankruptcy
Bankruptcy:	Chapter 13
Action Date:	08/28/2014
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	US BANKRUPTCY COURT DISTRICT OF NH
Location of Court:	MANCHESTER, NH
Docket/Case #:	14-11662- BAH
Action Pending?	No
Disposition:	Direct Payment Procedure
Disposition Date:	01/09/2015
Amount Paid:	\$142,070.40
SIPA (Securities Investor Protection Act)Trustee:	LAWRENCE O SUMSKI
Currently Open?	Yes
Date Direct Payment Initiated/Filed or Trustee Appointed:	10/01/2014
Broker Statement	A LONG TERM ILLNESS LEAD TO LOSS OF SAVINGS AND INCOME. I WASN'T ABLE TO REACH WORKABLE AGREEMENTS WITH ALL CREDITORS. CHAPTER 13 OFFERED A 5 YEAR PAYMENT PLAN.

Disclosure 2 of 3

Reporting Source:	Broker
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Action Type: Compromise
Action Date: 05/17/2013
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 05/17/2013
If a compromise with creditor, provide:
Name of Creditor: CHASE CREDIT CART
Original Amount Owed: \$4,488.00
Terms Reached with Creditor: SETTLED FOR AMOUNT OF \$2,244

Broker Statement LONG TERM HEALTH ISSUE (SARCOIDOSIS) AND REDUCTION OF INCOME. SETTLED FOR LESS THAN OWED. DEBT IS SATISFIED.

Disclosure 3 of 3

Reporting Source: Broker
Action Type: Compromise
Action Date: 11/25/2011
Organization Name: N/A
Individual Position:
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 01/25/2012
If a compromise with creditor, provide:



Name of Creditor: CHASE CREDIT CARD SERVICES AND BANK OF AMERICA

Original Amount Owed: \$7,375.00

Terms Reached with Creditor: 7375.00 AND 278000.00
CHASE SETTLED FOR \$3319.00 LESS PAYING INFULL OVER 4 MONTHLY PAYMENTS. BANK OF AMERICA SETTLE FOR A TOTAL OF \$9000.00 OVER 3 EQUAL MONTHLY PAYMENTS OF \$3000.00 EACH

Broker Statement MY INCOME DECLINED DUE TO ALONG TERM ILLNESS (SARCOIDOSIS). I DEPLETED MY SAVING AND SOLD ASSETS TO PAY OFF AS MUCH DEBT AS POSSIBLE. I MAILED CREDITORS A LETTER EXPLAINING THE SITUATIONAND ASKED IF THEY HAD PROGRAMS TO HELP. THE BOTH CHASE CREDIT CARD SERVICES AND BANK OF AMERICA OFFERED A SETTLEMENT FOR LESS THAN THE EXISTING BALANCE. MY HEALTH IS IMPROVING AND MY FIANCES ARE GETTING BACK ON TRACK.

End of Report



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