

BrokerCheck Report

PETERS & CO. EQUITIES INC.

CRD# 38165

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 7
Firm History	8
Firm Operations	9 - 15



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.

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:
 - 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
 - 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.

• **Thank you for using FINRA BrokerCheck.**



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.



PETERS & CO. EQUITIES INC.

CRD# 38165

SEC# 8-48219

Main Office Location

2300 JAMIESON PLACE
308 FOURTH AVENUE SW
CALGARY, AB, CANADA T2P 0H7
Regulated by FINRA Denver Office

Mailing Address

2300 JAMIESON PLACE
308 FOURTH AVENUE SW
CALGARY, AB, CANADA T2P 0H7

Business Telephone Number

403-261-4850

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

Its fiscal year ends in September.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 32 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 3 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



Firm Profile

This firm is classified as a corporation.

Its fiscal year ends in September.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

PETERS & CO. EQUITIES INC.

Doing business as PETERS & CO. EQUITIES INC.

CRD# 38165

SEC# 8-48219

Main Office Location

2300 JAMIESON PLACE
308 FOURTH AVENUE SW
CALGARY, AB, CANADA T2P 0H7

Regulated by FINRA Denver Office

Mailing Address

2300 JAMIESON PLACE
308 FOURTH AVENUE SW
CALGARY, AB, CANADA T2P 0H7

Business Telephone Number

403-261-4850



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): PETERS & CO. LIMITED

Is this a domestic or foreign entity or an individual? Foreign Entity

Position PARENT COMPANY

Position Start Date 12/1994

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): DRISCOLL, ANN MARLENE

5930722

Is this a domestic or foreign entity or an individual? Individual

Position VICE PRESIDENT, FINANCE & CHIEF FINANCIAL OFFICER, PRINCIPAL FINANCIAL OFFICER

Position Start Date 01/2021

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): HARRIS, DEVON BRENDON

6540266

Is this a domestic or foreign entity or an individual? Individual

Position PRINCIPAL OPERATIONS OFFICER

Position Start Date 12/2021

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): MARCOTTE, BRADLEY WILLIAM
6579235

Is this a domestic or foreign entity or an individual? Individual

Position MANAGING DIRECTOR, INSTITUTIONAL SALES

Position Start Date 04/2023

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): MARTIN, JEFFREY JOHN MR.
4795286

Is this a domestic or foreign entity or an individual? Individual

Position EXECUTIVE VICE PRESIDENT AND MANAGING DIRECTOR

Position Start Date 10/2018

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): OLIVER, STEPHEN

Firm Profile



Direct Owners and Executive Officers (continued)

	8061893
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	07/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
<hr/>	
Legal Name & CRD# (if any):	PLEWES, CAMERON EVAN 5853073
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	10/2018
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
<hr/>	
Legal Name & CRD# (if any):	POTTER, CHRISTOPHER STEPHEN MR. 4730261
Is this a domestic or foreign entity or an individual?	Individual
Position	CHAIRMAN AND CHIEF EXECUTIVE OFFICER
Position Start Date	10/2018
Percentage of Ownership	Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): REARDON, TYLER JAMES
5620339

Is this a domestic or foreign entity or an individual? Individual

Position MANAGING DIRECTOR, RESEARCH

Position Start Date 01/2019

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): SCOTT, ROBIN STUART
4058331

Is this a domestic or foreign entity or an individual? Individual

Position MANAGING DIRECTOR, TRADING

Position Start Date 10/2018

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

No information reported.



Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 32 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/03/1996

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	09/03/1996

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	11/26/1996
Colorado	Approved	11/01/1996
Connecticut	Approved	02/25/1997
Delaware	Approved	11/06/1996
Florida	Approved	01/02/1997
Georgia	Approved	02/14/1997
Illinois	Approved	11/14/1996
Iowa	Approved	06/11/2018
Kansas	Approved	01/02/1997
Louisiana	Approved	06/29/2020
Maryland	Approved	10/31/1996
Massachusetts	Approved	11/26/1996
Michigan	Approved	11/16/2000
Minnesota	Approved	08/20/1997
Missouri	Approved	04/28/1997
Montana	Approved	10/08/2003
Nebraska	Approved	11/28/2023
Nevada	Approved	02/21/2025
New Jersey	Approved	01/06/1997
New York	Approved	01/01/1996
North Carolina	Approved	12/16/2020
Ohio	Approved	11/19/1999
Pennsylvania	Approved	06/05/2019
South Carolina	Approved	08/16/2022
South Dakota	Approved	04/24/2020
Tennessee	Approved	04/14/2025
Texas	Approved	03/26/1997
Utah	Approved	05/31/2022
Virginia	Approved	08/18/1999
Washington	Approved	10/29/1996
Wisconsin	Approved	09/08/2000
Wyoming	Approved	04/21/2003



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 3 types of businesses.

Types of Business

Underwriter or selling group participant (corporate securities other than mutual funds)

Private placements of securities

Other - 12Z. PETERS & CO. EQUITIES INC. (PCE) WILL ACT AS A BROKER-DEALER SERVING U.S. INSTITUTIONAL INVESTORS AND U.S. INDIVIDUAL AND INSTITUTIONAL ACCREDITED INVESTORS (AS DEFINED BY REGULATION UNDER THE SECURITIES ACT OF 1933, AS AMENDED), PRIMARILY IN CANADIAN TRANSACTIONS. ANY FINANCIAL OR INVESTMENT ADVICE CONDUCTED BY PCE WILL BE SOLELY INCIDENTAL TO THE CONDUCT OF ITS BUSINESS AS A BROKER-DEALER AND THE COMPANY WILL NOT RECEIVE ANY SPECIAL COMPENSATION FOR THESE SERVICES. MOST OF ITS ACTIVITIES WILL INVOL

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: PETERS & CO. LIMITED

Business Address: 2300 JAMIESON PLACE
308 FOURTH AVENUE SW
CALGARY, ALBERTA, CANADA T2P 0H7

Effective Date: 09/01/1996

Description: A REGISTERED PRINCIPAL OF PETERS & CO. EQUITIES INC.(PCE) WILL SUPERVISE AND ASSUME RESPONSIBILTYY FOR CONDUCTING THE ACCOUNTS AND MAINTAINING THE RECORDS OF PCE. HOWEVER,PETERS & CO. LIMITED(PCL),PARENT OF PCE,PROVIDES EXECUTION CAPABILITIES FOR TRANSACTIONS EXECUTED ON THE CANADIAN STOCK EXCHANGES, AND WILL PROVIDE PCE WITH NECESSARY ACCOUNT'G,BOOKKEEP'G,SECRETARIAL,CLERICAL AND OTHER ADMIN. SERVICES REQUIRED TO KEEP AND MAINTAIN BOOKS AND RECORDS, AND SETTLE ALL TRADES PURSUANT TO AN OPERATING AGREEMENT.

Name: BROADRIDGE FINANCIAL SOLUTIONS

Business Address: SUITE 600, 510 BURNARD STREET
VANCOUVER, BRITISH COLUMBIA, CANADA V6C 3A8

Effective Date: 05/17/2007

Description: ITEM 8A: BROADRIDGE FINANCIAL SOLUTIONS PROVIDES OUR TRADE PROCESSING AND REGULATORY REPORTING SOFTWARE. WHILE THE SERVER IS MAINTAINED ON OUR PREMISES, BROADRIDGE, AS THE SERVICE PROVIDER, IS RESPONSIBLE FOR THE MAINTENANCE OF THE DATABASE AND THE SOFTWARE.

This firm does have accounts, funds, or securities maintained by a third party.

Name: PETERS & CO. LIMITED

Business Address: 2300 JAMIESON PLACE
308 FOURTH AVENUE SW
CALGARY, ALBERTA, CANADA T2P 0H7

Effective Date: 09/01/1996

Description: 8B. YES, APPLICANT HAS ARRANGEMENTS WITH PETERS & CO. LIMITED, ITS PARENT COMPANY, UNDER WHICH PETERS & CO. LIMITED HOLDS FUNDS ON ITS BEHALF. PETERS & CO. LIMITED COLLECTS COMMISSIONS AND INCURS EXPENSES ON BEHALF OF PETERS & CO.

Firm Operations



Industry Arrangements (continued)

EQUITIES INC., AND AGGREGATES THESE IN INTERCOMPANY BALANCES WHICH ARE SETTLED WITH PAYMENT EXCHANGES ON A QUARTERLY BASIS. PETERS & CO. LIMITED DOES NOT HOLD OR MAINTAIN SECURITIES FOR PETERS & CO. EQUITIES INC.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

PETERS & CO. LIMITED controls the firm.

Business Address:	2300 JAMIESON PLACE 308 FOURTH AVENUE SW CALGARY, ALBERTA, CANADA T2P 0H7
Effective Date:	09/01/1996
Foreign Entity:	Yes
Country:	CANADA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE FIRM IS 100% OWNED BY PETERS & CO. LIMITED, A REGISTERED CANADIAN BROKER-DEALER.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



This page is intentionally left blank.