BrokerCheck Report

PETER KEVIN JOHNSON

CRD# 1371966

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.

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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
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

B **CENTER STREET SECURITIES, INC.**
CRD# 26898
LAFAYETTE, IN
06/2020 - 01/2022

B **CENTER STREET SECURITIES, INC.**
CRD# 26898
LAFAYETTE, IN
01/2017 - 07/2018

B **CENTER STREET SECURITIES, INC.**
CRD# 26898
ZIONSVILLE, IN
11/2013 - 11/2015

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

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. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	08/20/1999

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	07/17/2018
B	General Securities Representative Examination	Series 7	10/19/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	07/07/1997
B	Uniform Securities Agent State Law Examination	Series 63	12/19/1985

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/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	06/2020 - 01/2022	CENTER STREET SECURITIES, INC.	26898	LAFAYETTE, IN
B	01/2017 - 07/2018	CENTER STREET SECURITIES, INC.	26898	LAFAYETTE, IN
B	11/2013 - 11/2015	CENTER STREET SECURITIES, INC.	26898	ZIONSVILLE, IN
B	09/2011 - 11/2013	NATIONAL PLANNING CORPORATION	29604	INDIANAPOLIS, IN
B	12/2009 - 09/2011	J.P. TURNER & COMPANY, L.L.C.	43177	INDIANAPOLIS, IN
B	02/2008 - 12/2009	WUNDERLICH SECURITIES, INC.	2543	CARMEL, IN
B	10/2006 - 02/2008	ALLSTATE FINANCIAL SERVICES, LLC	18272	FISHERS, IN
B	05/2002 - 10/2006	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	INDIANAPOLIS, IN
B	01/2001 - 04/2002	EDWARD JONES	250	ST. LOUIS, MO
B	04/2000 - 01/2001	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST. PETERSBURG, FL
B	04/1999 - 04/2000	LINSCO/PRIVATE LEDGER CORP.	6413	FORT MILL, SC
B	01/1999 - 03/1999	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST. PETERSBURG, FL
B	03/1995 - 01/1999	ROBERT THOMAS SECURITIES, INC	10147	ST. PETERSBURG, FL
B	01/1995 - 03/1995	LINSCO/PRIVATE LEDGER CORP.	6413	FORT MILL, SC
B	06/1994 - 12/1994	WALL STREET INVESTOR SERVICES	10012	NEW YORK, NY
B	07/1993 - 06/1994	SMITH BARNEY INC.	7059	NEW YORK, NY
B	09/1991 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B	07/1990 - 09/1991	RAFFENSPERGER, HUGHES & CO., INC.	699	INDIANAPOLIS, IN
B	10/1989 - 07/1990	PRUDENTIAL-BACHE SECURITIES INC.	7471	NEW YORK, NY
B	02/1989 - 09/1989	PRIVATE LEDGER FINANCIAL SERVICES, INCORPORATED	6413	FORT MILL, SC

Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	11/1987 - 02/1989	ISFA CORPORATION	12984	
B	01/1987 - 07/1987	DEAN WITTER REYNOLDS INC.	7556	
B	12/1986 - 02/1987	CITY SECURITIES CORPORATION	1459	
B	11/1985 - 11/1986	EDWARD D. JONES & CO., L.P.	250	

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	Employer Name	Position	Investment Related	Employer Location
06/2018 - Present	CAPITAL ADVISOR NETWORK, LLC	MANAGING PRINCIPAL & CCO	Y	LAFAYETTE, IN, United States
11/2016 - 07/2018	KENNEDY WEALTH GROUP	MANAGING PARTNER	Y	LAFAYETTE, IN, United States
04/2014 - 07/2018	CENTER STREET ADVISORS, INC.	INVESTMENT REPRESENTATIVE	Y	NASHVILLE, TN, United States
11/2013 - 07/2018	CENTER STREET SECURITIES	REP	Y	NASHVILLE, TN, United States
08/2015 - 11/2016	BROOKSTONE CAPITAL MANAGEMENT	PORTFOLIO STRATEGIST	Y	WHEATON, IL, United States

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) INDEPENDENT INSURANCE AGENT - INVESTMENT RELATED - 925 MEZZANINE DRIVE, SUITE A, LAFAYETTE, IN 47095 - FIXED INSURANCE SALES - 20 HOURS/MO DURING TRADING HOURS - MARKETING AND SALES OF FIXED INSURANCE PRODUCTS.
2) 2017- CAN WEALTH MANAGEMENT, LLC- BOOKKEEPING AND MARKETING ENTITY USED FOR ADVISORY SERVICES. INVESTMENT

Registration and Employment History

Other Business Activities, continued

RELATED. 25 HOURS/MO DURING TRADING HOURS.

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:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - 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.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - 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.
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4. **There are different statuses and dispositions for disclosure events:**
   - 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.
   - 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

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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:	Broker
Regulatory Action Initiated By:	STATE OF INDIANA SECRETARY OF STATE SECURITIES DIV
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	02/08/1988
Docket/Case Number:	88-0013SC
Employing firm when activity occurred which led to the regulatory action:	OLDE
Product Type:	No Product
Other Product Type(s):	
Allegations:	THE ADMINISTRATIVE COMPLAINT ALLEGED THAT I HAD FUNCTIONED AS AN AGENT WITHOUT BEING REGISTERED WITH RESPONDENT FOR 11 DAYS WHICH INCLUDED WEEKENDS AND A LEGAL HOLIDAY
Current Status:	Final
Resolution:	Consent

Resolution Date:	04/21/1988
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS I AGREED TO AMEND MY U-4 TO REFLECT THE PERIOD OF EMPLOYMENT. I ALSO AGREED TO REIMBURSE THE SECRETARY OF STATE OF IN SECURITIES DIV $100.00 FOR THE COST OF THE INVESTIGATION.
Broker Statement	MY EMPLOYMENT WITH OLDE SECURITIES COMMENCED ON SEPT 7 1987. IT BECAME OBVIOUS TO ME AFTER ONLY A FEW DAYS ON THE JOB THE OFFICE WAS VIOLATING SEVERAL S.E.C. RULES. THE OFFICE MANAGER IN MY OPINION WAS ALSO SEXUALLY HARRASSING STAFF. DURING THE FIRST AND ONLY WEEK OF MY EMPLOYMENT WITH OLDE I PHONES THEIR HOME OFFICE NOTIFIED THE APPROPRIATE OFFICER OF THE SITUATION AT THEIR INDIANAPOLIS OFFICE AND GAVE MY RESIGNATION. OLDE DID NOT PROVIDE ME WITH A U-4 FORM. IT CAME TO PASS THAT THE STATE INVESTIGATED OLDE FOR SECURITIES VIOLATIONS. RECORDS SHOWED I WAS EMPLOYED BY OLDE FOR 11 DAYS YET MY U-4 DID NOT REFLECT THIS.

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	STIFEL, NICOLAUS & COMPANY, INC.
Allegations:	CLIENT'S ATTNY WRITES THE SURRENDER FEES ASSOCIATED W/SWITCHING ANNUITIES WAS NEVER DISCLOSED TO CLIENT. THEY ASK FOR $30,124.35. THEY ALSO ASK THAT THEY BE ABLE TO SWITCH TO ANOTHER ANNUITY W/OUT PENALTIES OR CHARGES.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$30,124.35

Customer Complaint Information

Date Complaint Received:	02/16/2007
Complaint Pending?	No
Status:	Denied
Status Date:	03/21/2007
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	STIFEL, NICOLAUS & COMPANY, INC
Allegations:	CLIENT'S ATTNY WRITES THE SURRENDER FEES ASSOCIATED W/SWITCHING ANNUITIES WAS NEVER DISCLOSED TO CLIENT. THEY ASK FOR $30,124.35. THEY ALSO ASK THAT THEY BE ABLE TO SWITCH TO ANOTHER ANNUITY W/OUT PENALTIES OR CHARGES.
Product Type:	Annuity(ies) - Variable

Alleged Damages:	$30,124.35

Customer Complaint Information

Date Complaint Received:	02/16/2007
Complaint Pending?	No
Status:	Denied
Status Date:	03/21/2007
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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