

BrokerCheck Report

PETER MICHAEL SHUROW SR

CRD# 1844149

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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.

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.

PETER M. SHUROW SR

CRD# 1844149

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

Registration History

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

- B OSAIC WEALTH, INC.**
CRD# 23131
MOORE, OK
11/2023 - 01/2025
- B FSC SECURITIES CORPORATION**
CRD# 7461
MOORE, OK
04/2019 - 11/2023
- B CAPITAL FINANCIAL SERVICES, INC.**
CRD# 8408
MOORE, OK
09/2004 - 04/2019

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
Customer Dispute	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. 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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	09/29/2003

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/15/2001
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/26/1988

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	03/09/2002
B Uniform Securities Agent State Law Examination	Series 63	08/26/1988

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 11/2023 - 01/2025	OSAIC WEALTH, INC.	23131	MOORE, OK
B 04/2019 - 11/2023	FSC SECURITIES CORPORATION	7461	MOORE, OK
B 09/2004 - 04/2019	CAPITAL FINANCIAL SERVICES, INC.	8408	MOORE, OK
B 11/2003 - 10/2004	EMPIRE FINANCIAL GROUP, INC.	28759	LONGWOOD, FL
B 11/2002 - 11/2003	FREEDOM FINANCIAL, INC.	45850	OMAHA, NE
B 07/2002 - 11/2002	THRIVENT INVESTMENT MANAGEMENT INC.	18387	MINNEAPOLIS, MN
B 02/1995 - 07/2002	LUTHERAN BROTHERHOOD SECURITIES CORP.	4205	MINNEAPOLIS, MN
B 09/1988 - 02/1995	AAL CAPITAL MANAGEMENT CORPORATION	18387	MINNEAPOLIS, MN

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
11/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	MOORE, OK, United States
04/2019 - 11/2023	FSC SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	MOORE, OK, United States
09/2004 - 04/2019	CAPITAL FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	MINOT, ND, United States



Registration and Employment History

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. PETER M SHUROW SR

POSITION: Shareholder NATURE: Insurance INVESTMENT RELATED: No HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 04/16/2009

ADDRESS: 840 SE 4th Street Suite 2A &B, Moore, OK 73160

DESCRIPTION: I do spend approx. 10% of my 50 hour work week talking to my clients about retirement planning, income planning which includes, life insurance, health insurance, long term care, & risk analysis. This would include evaluation of Risk Mgmt. Needs: life insurance, health insurance, long term care, protection, if risk adverse, product selection e.g. CD's, savings, bonds, fixed annuities, indexed annuities, SPIA's. If needs are present products would be selected that are in Best Interest of Client from many different companies available, e.g., Jackson Life, Continental Genera, John Hancock, GE, Blue Cross Blue Shield, Fidelity & Guaranty, Allianz, Nationwide, just to mention a few. I do use an FMO, "Game Plan" as a useful tool to help in product selection as well as direct licensing in some instances where the entity won't go thru my BD. The List of companies choices can be quite large when considering the Fixed Business side. DBA: MOORESTREET FINANCIAL GROUP LLC

2. MOORESTREET FINANCIAL GROUP LLC

POSITION: Shareholder NATURE: LLC INVESTMENT RELATED: No HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 04/19/2009

ADDRESS: 840 SE 4th Street Suite 2A & B, Moore, OK 73160

DESCRIPTION: Just review the web site from time to time

3. MOORESTREET FINANCIAL GROUP LLC

POSITION: shareholder NATURE: MooreStreet Financial Group LLC is used as a Marketing Name only, no income is received as an entity.

FINRA has reviewed my entity, past web sites and LOGO and have approved. INVESTMENT RELATED: No NUMBER OF HOURS: 5

SECURITIES TRADING HOURS: 0 START DATE: 04/19/2009

ADDRESS: 840 SE 4th Street, Suite 2A & B, Moore OK 73160, United States

DESCRIPTION: I do not receive any compensation for this activity.

4. PETER M. SHUROW SR

POSITION: Independent Agent NATURE: Independent Agent for fixed business (fixed annuities, Life Insurance, Long Term Care, not investment related. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 04/16/2009

ADDRESS: 840 SE 4th Street, Suite 2A & B, Moore OK 73160, United States

DESCRIPTION: Fixed Annuity Sales, Fixed Products, e.g., Life Insurance, health insurance, Long Term Care, I spend approx. 10% of my 50 hour work week on above and if needs present products, they would be selected in the Best Interest of Client. The list of companies selected can be quite large but again, would be selected in the Best Interest of the client, suitability, their goals & objectives, including their current financial situation. FMO is Truchoice.

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
Customer Dispute	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.

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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CFS
Allegations:	Lawsuit against entities and individuals involved with DBSI investments.
Product Type:	Real Estate Security
Alleged Damages:	\$2,160,495.18
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution Arbitration
Docket/Case #:	15-02775
Filing date of arbitration/CFTC reparation or civil litigation:	10/16/2015

Customer Complaint Information

Date Complaint Received:	11/09/2015
Complaint Pending?	No



Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 10/16/2015

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA Dispute Resolution Arbitration

Docket/Case #: 15-02775

Date Notice/Process Served: 11/09/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/23/2016

Monetary Compensation Amount: \$200,000.00

Individual Contribution Amount: \$0.00

Broker Statement This needed to be corrected as this individual is a named respondent.

Disclosure 2 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CAPITAL FINANCIAL SERVICES

Allegations: MISREPRESENTATION AND OMISSION; NEGLIGENCE AND UNSUITABLE RECOMMENDATIONS.

Product Type: Direct Investment-DPP & LP Interests
Oil & Gas

Alleged Damages: \$25,000.00

Is this an oral complaint? No

Is this a written complaint? Yes



**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 09/06/2011
Complaint Pending? No
Status: Settled
Status Date: 01/09/2012
Settlement Amount: \$10,000.00
**Individual Contribution
Amount:** \$0.00

Disclosure 3 of 3

Reporting Source: Broker
**Employing firm when
activities occurred which led
to the complaint:** CAPITAL FINANCIAL SERVICES
Allegations: CUSTOMER ALLEGES UNSUITABLE INVESTMENTS.
Product Type: Direct Investment-DPP & LP Interests
Oil & Gas
Alleged Damages: \$108,000.00

Arbitration Information

**Arbitration/CFTC reparation
claim filed with (FINRA, AAA,
CFTC, etc.):** FINRA DISPUTE RESOLUTION
Docket/Case #: 10-00354
Date Notice/Process Served: 02/08/2010
Arbitration Pending? No
Disposition: Settled
Disposition Date: 07/31/2012
**Monetary Compensation
Amount:** \$10,000.00
Individual Contribution \$3,432.00



Amount:

End of Report



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