

## BrokerCheck Report

**WAYNE ARTHUR PECK**

CRD# 2042033

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**WAYNE A. PECK**

CRD# 2042033

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):**

- B OSAIC WEALTH, INC.**  
CRD# 23131  
MAUMEE, OH  
05/2018 - 11/2025
- B CAPITAL FINANCIAL SERVICES, INC.**  
CRD# 8408  
FINDLAY, OH  
01/2009 - 05/2018
- B HORNOR, TOWNSEND & KENT, INC.**  
CRD# 4031  
FINDLAY, OH  
04/2007 - 02/2009

### 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? **No**

### 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, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Investment Company Products/Variable Contracts Principal Examination	Series 26	06/05/1997

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	12/01/2005
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	07/06/1995

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	11/16/2018
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	12/17/1999

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/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications

### Professional Designations

This section details that the representative has reported **1** professional designation(s).

#### Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 05/2018 - 11/2025	OSAIC WEALTH, INC.	23131	MAUMEE, OH
<b>B</b> 01/2009 - 05/2018	CAPITAL FINANCIAL SERVICES, INC.	8408	FINDLAY, OH
<b>B</b> 04/2007 - 02/2009	HORNOR, TOWNSEND & KENT, INC.	4031	FINDLAY, OH
<b>B</b> 12/2006 - 04/2007	QUESTAR CAPITAL CORPORATION	43100	FINDLAY, OH
<b>B</b> 11/2004 - 12/2006	USALLIANZ SECURITIES, INC.	40875	FINDLAY, OH
<b>B</b> 10/1999 - 11/2004	WOODBURY FINANCIAL SERVICES, INC.	421	OAKDALE, MN
<b>B</b> 07/1995 - 10/1999	ROOSEVELT EQUITY CORPORATION	6004	NEW YORK, NY

### 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
05/2018 - Present	ROYAL ALLIANCE	REGISTERED REPRESENTATIVE	Y	FINDLAY, OH, United States
02/1990 - Present	WAYNE PECK	OWNER - SELF EMPLOYED	Y	FINDLAY, OH, United States
01/2009 - 05/2018	CAPITAL FINANCIAL SERVICES	REGISTERED REP	Y	MINOT, ND, 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) WAYNE A. PECK

POSITION: owner NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 40  
START DATE: 02/19/1990



## Registration and Employment History

### Other Business Activities, continued

ADDRESS: 655 Beaver Creek Circle, Maumee OH 43537, United States

DESCRIPTION: Sell insurance and annuities and Long Term Care to clients.

#### 2) ANN CALVIN POA

POSITION: Power of Attorney NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING

HOURS: 1 START DATE: 10/08/2021

ADDRESS: 10571 Bethel Church Rd, Midland NC 28107, United States

DESCRIPTION: Will handle the financial affairs for a relative. Ann Calvin is 93 years old. She has no children. Only family is cousins my age or younger. She asked me to be her POA. She currently is handling her affairs. i will become involved when she is not able to handle her affairs.

#### 3) ANN CALVIN

POSITION: trustee NATURE: Sole proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1

START DATE: 10/15/2021

ADDRESS: 10571 Bethel Church Rd, Midland NC 28107, United States

DESCRIPTION: Will become co-trustee with Ann Calvin's attorney, Deborah Rohrs, at the time Ms. Calvin can not attend to her affairs of Ms Calvin's revocable trust and at her death over see the distributions of the trust. Ms. Calvin is a cousin and has no children. She is 93 years old and has only cousins left to administer her estate.

#### 4) SAVAGE AND ASSOCIATES--SECURITIES DBA

POSITION: financial professional NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES

TRADING HOURS: 20 START DATE: 05/18/2018

ADDRESS: 655 Beaver Creek Cir., Maumee OH 43537, United States

DESCRIPTION: Over see client investments, make recommendations, manage portfolio as my primary function as a financial professional

#### 5) SAVAGE AND ASSOCIATES INSURANCE DBA

POSITION: representative NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING

HOURS: 0 START DATE: 05/18/2018

ADDRESS: 655 Beaver Creek Cir., Maumee OH 43537, United States

DESCRIPTION: Find and meet with clients. Assess their needs and submit applications to carrier for life, LTC, and disability. Handle any customer concerns about insurance and help client with claims.

#### 6) JACKSON HEWITT TAX SERVICES

POSITION: income tax preparer NATURE: Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 80 SECURITIES TRADING

HOURS: 60 START DATE: 01/03/2024

ADDRESS: 519-A Jake Alexander Blvd., Salisbury NC 28147, United States

DESCRIPTION: Meet with clients and take their information and complete their tax returns

## End of Report



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