BrokerCheck Report

PETER MICHAEL TUCHMAN

CRD# 4641898

Section Title	Page(s)

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.
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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. TUCHMAN
CRD# 4641898

Currently employed by and registered with the following Firm(s):

B **TRADEMAS INC.**
NYSE
11 Wall Street
New York, NY 10005
CRD# 130030
Registered with this firm since: 02/07/2022

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 registered with:

- 1 Self-Regulatory Organization
- 0 U.S. states and territories

This broker has passed:

No information reported.

Registration History

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

B **QUATTRO M SECURITIES INC.**
CRD# 39289
NEW YORK, NY
03/2011 - 02/2022

B **RAVEN SECURITIES CORP.**
CRD# 35201
NEW YORK, NY
10/2009 - 03/2011

B **ROBERT M. CORLEY INCORPORATED**
CRD# 33068
NEW YORK, NY
11/2007 - 10/2009

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Termination	1
Judgment/Lien	2

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 individual is currently registered with 1 SRO and is licensed in 0 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **TRADEMAS INC.**

Main Office Address: **NYSE TRADING FLOOR**
11 WALL STREET
NEW YORK, NY 10005

Firm CRD#: **130030**

	SRO	Category	Status	Date
B	New York Stock Exchange	Member Exchange (NYSE)	Approved	02/07/2022

Branch Office Locations

TRADEMAS INC.
NYSE TRADING FLOOR
11 WALL STREET
NEW YORK, NY 10005

TRADEMAS INC.
NYSE
11 Wall Street
New York, NY 10005

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.

No information reported.

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	03/2011 - 02/2022	QUATTRO M SECURITIES INC.	39289	NEW YORK, NY
B	10/2009 - 03/2011	RAVEN SECURITIES CORP.	35201	NEW YORK, NY
B	11/2007 - 10/2009	ROBERT M. CORLEY INCORPORATED	33068	NEW YORK, NY
B	10/2006 - 11/2007	MAVEN SECURITIES, INC.	141917	NEW YORK, NY
B	03/2006 - 10/2006	GROSS, ARTHUR J	125975	NEW YORK, NY
B	11/2001 - 04/2006	EUROPA SECURITIES, LLC	28493	OVIEDO, FL
B	11/2001 - 06/2003	EUROPA SECURITIES, LLC	28493	OVIEDO, FL

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
02/2022 - Present	TradeMas	Floor Broker	Y	New York, NY, United States
03/2011 - 02/2022	QUATTRO M SECURITIES, INC.	MEMBER	Y	POUND RIDGE, NY, 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) TUCHMAN ENTERPRISE, NOT INVESTMENT RELATED. LOCATED AT 210 W. 101ST ST., New York, NY 10025, PRESIDENT, START DATE 08/15/09. ZERO HRS DURING SECURITIES TRADING HRS.

(2) WALL STREET GLOBAL TRADING ACADEMY. THIS IS AN ONLINE TECHNICAL ANALYSIS COURSE. HOST, MODERATOR, AND PARTNER FOR THIS COMPANY. DUTIES DO NOT INTERFERE WITH TRADING HOURS.

Registration and Employment History

Other Business Activities, continued

(3) ICE/NYSE, participated in a global add campaign for ICE/NYSE. Non-investment related. Devoted approximately 10 hours after business hours.

(4) BenTuc/Wall Street, Inc. - speaking engagements, motivational speaker. Time devoted is after business hours.

(5) GloQal, Inc. - is a service that provides social scheduling for NFT art projects. Serve as an adviser on partnerships and marketing branding ideas.

(6) EOWS, located at 13350 SW 131, Miami FL. I am a partner in this entity since 11/1/2022. The entity is currently not active.

(7) Alinea Invest Co. is a registered investment advisor located at 50 E. 8th Street, New York, NY. Since 11/20/2020 I serve as a social media advisor. I do not engage in any securities transactions or provide any investment advisory or investment management services. I devote approximately 4 hours a month after business hours.

(8) Quant Data is located at 211 SW 34th Street, Gainesville, FL and is a data analytic platform. Since October 2019, I serve as an advisor on content on their social media platform. I devote approximately 5 hours a month after business hours.

(9) Boss Beauties Co. is located at 95 Old Oaks Rd., Fairfield, CT 06825 and is involved in the distribution of NFTs (non-fungible tokens) for scholarships for women. I serve as an advisor on their social media platform since 12/3/2021. I devote approximately 5 hours a month after business hours.

(10) Wall Street Pete, Inc. located at 210 W. 101st, New York, NY. and provides motivational speaking services. Since 08/26/2020 I serve as a public speak at universities, colleges, and clubs. I devote approximately 5 hours a month after business hours.

(11) The Investing Authority LLC located at 8329 Harrison Avenue, Munster IN 46321. The company is a social media consulting firm that offers alternative media access (i.e., Twitter and Reddit) to companies and startups. Advisor since April 2024. I devote approximately 10 hours a month after business hours. I refer prospective clients to the business and provide guidance to the clients on which social media platforms fits their needs.

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.
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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
Termination	N/A	1	N/A
Judgment/Lien	2	N/A	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.

Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	EUROPA SECURITIES
Termination Type:	Permitted to Resign
Termination Date:	03/07/2006
Allegations:	NO ALLEGATIONS
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Types:	NYSE FLOOR BROKER
Firm Statement	PETER FAILED TO DELIVER APPROPRIATE DOCUMENTATION TO THE FIRM IN ORDER TO MAINTAIN PROPER COMPLIANCE

Reporting Source:	Broker
Employer Name:	EUROPA SECURITIES
Termination Type:	Permitted to Resign
Termination Date:	03/07/2006
Allegations:	IT IS ALLEGED THAT PETER FAILED TO SUPERVISE BY NOT DELIVERING APPROPRIATE DOCUMENTATION TO THE FIRM IN ORDER TO MAINTAIN PROPER COMPLIANCE.
Product Type:	Equity Listed (Common & Preferred Stock)

Other Product Types: NYSE FLOOR BROKER

Broker Statement PETER FAILED TO DELIVER APPROPRIATE DOCUMENTATION TO THE FIRM IN ORDER TO MAINTAIN PROPER COMPLIANCE.

Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 2

Reporting Source:	Broker
Judgment/Lien Holder:	FEDERAL LIEN IRS
Judgment/Lien Amount:	$65,384.22
Judgment/Lien Type:	Tax
Date Filed with Court:	06/22/2017
Date Individual Learned:	11/26/2018
Type of Court:	State Court
Name of Court:	NEW YORK COUNTY COURT NY
Location of Court:	NEW YORK, NEW YORK
Docket/Case #:	2017000230605
Judgment/Lien Outstanding?	Yes
Broker Statement	Mr. Tuchman believes the lien was activated when he was negotiating to sign a new IPA agreement with the IRS for tax years 2012, 2014, 2015 and 2016. the IPA was signed on December 18, 2018 and finalized by an IPA hearing on December 21, 2018. Mr. Tuchman was not aware of the lien activation and believes it is currently inactive. He has attempted to confirm this with the IRS but currently the Special Tax Department that would provide specific information is closed due to the partial government shutdown.

Disclosure 2 of 2

Reporting Source:	Broker
Judgment/Lien Holder:	FEDERAL LEIN IRS
Judgment/Lien Amount:	$145,851.17
Judgment/Lien Type:	Tax
Date Filed with Court:	05/25/2017
Date Individual Learned:	11/26/2018
Type of Court:	State Court
Name of Court:	NEW YORK COUNTY COURT, NY

Location of Court:	NEW YORK, NEW YORK
Docket/Case #:	2017000196842
Judgment/Lien Outstanding?	Yes
Broker Statement	Mr. Tuchman believes the lien was activated when he was negotiating to sign a new IPA agreement with the IRS for tax years 2012, 2014, 2015 and 2016. the IPA was signed on December 18, 2018 and finalized by an IPA hearing on December 21, 2018. Mr. Tuchman was not aware of the lien activation and believes it is currently inactive. He has attempted to confirm this with the IRS but currently the Special Tax Department that would provide specific information is closed due to the partial government shutdown.

End of Report

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