BrokerCheck Report

PETER JOSEPH SNETZKO

CRD# 5632129

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.

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:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

B **NEWBRIDGE SECURITIES CORPORATION**
CRD# 104065
NEW YORK, NY
06/2015 - 08/2015

B **GLOBAL ARENA CAPITAL CORP**
CRD# 16871
NEW YORK, NY
10/2013 - 06/2015

B **HFP CAPITAL MARKETS LLC**
CRD# 44351
NEW YORK, NY
02/2009 - 10/2013

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	08/03/2015
B	General Securities Representative Examination	Series 7	01/21/2009

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	01/27/2009

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 securities firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	06/2015 - 08/2015	NEWBRIDGE SECURITIES CORPORATION	104065	NEW YORK, NY
B	10/2013 - 06/2015	GLOBAL ARENA CAPITAL CORP	16871	NEW YORK, NY
B	02/2009 - 10/2013	HFP CAPITAL MARKETS LLC	44351	NEW YORK, NY
B	01/2009 - 03/2009	DAWSON JAMES SECURITIES, INC.	130645	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
06/2015 - Present	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States

Disclosure Events

What you should know about reported disclosure events:

1. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	2	0

Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	09/14/2015
Docket/Case Number:	2014043542407
Employing firm when activity occurred which led to the regulatory action:	Global Arena Capital Corp.
Product Type:	Other: Various securities
Allegations:	Without admitting or denying the findings, Snetzko consented to the sanction and to the entry of findings that he made material misrepresentations and omitted material facts in connection with securities transactions he recommended to customers. Snetzko made specific price and return predictions about securities without a reasonable basis for doing so. Snetzko and another broker with whom he shared a rep code also directed junior brokers, often recent college graduates, to cold call potential customers from lead sheets and recommend junk bonds using sales scripts that contained misleading statements and omissions. Snetzko directed the junior brokers to use scripts of misleading and high-pressure "rebuttals" when customers expressed reservations about purchasing recommended securities. The findings stated that Snetzko churned and excessively traded numerous customer accounts over which he exercised de facto control in order to generate commissions and markups. Snetzko's recommendations to these customers were also unsuitable, and misleading, because the extremely high level of trading, combined with the significant fees charged, made it virtually certain that the customers would lose money over time, which most did. Snetzko thereby willfully violated Section 10(b) of the Securities Exchange Act of 1934 and SEC Rule 10b-5 promulgated thereunder, and violated FINRA Rules 2020.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	09/14/2015
Sanctions Ordered:	Bar (Permanent) Other: Respondent understands that this settlement includes a finding that he willfully violated Section 10b and Rule 10b-5 of the Securities Exchange Act of 1934 and that under Article III, Section 4 of FINRA's By-Laws, this makes him subject to a statutory disqualification with respect to association with a member.
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	Yes
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	Yes

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	No
(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	No

Sanction 1 of 1

Sanction Type:	Bar (Permanent)
Capacities Affected:	All Capacities
Duration:	
Start Date:	09/14/2015
End Date:	

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ALASKA
Sanction(s) Sought:	Bar Cease and Desist Restitution Revocation
Date Initiated:	07/21/2014
Docket/Case Number:	2014-001442
URL for Regulatory Action:	https://www.commerce.alaska. gov/web/Portals/3/pub/EnforcementActions/Order14-1442-2-S.pdf
Employing firm when activity occurred which led to the regulatory action:	GLOBAL ARENA CAPITAL CORPORATION
Product Type:	Debt-Corporate
Allegations:	respondent violated AS 45.55.025(3) by signing off on unsuitable sale of CCC-rated Nii Capital Corp bonds to elderly Alaskan investor.
Current Status:	Final
Action Appealed To:	State Agency or Commission
Date Appeal filed:	07/15/2015
Appeal Limitation Details:	
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/23/2015
Sanctions Ordered:	Bar (Permanent) Restitution Other: Restitution of $16,675.08 to Alaska victim made in two equal payments due

	10/31/15 and 11/30/15.
Sanction 1 of 1	
Sanction Type:	Bar (Permanent)
Capacities Affected:	All capacities, all industries regulated by the Division of Banking and Securities and Insurance
Duration:	permanent
Start Date:	10/23/2015
End Date:	
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Restitution
Total Amount:	$16,675.08
Portion Levied against individual:	$16,675.08
Payment Plan:	2 equal payments due 10/31/15 and 11/30/15
Is Payment Plan Current:	Yes
Date Paid by individual:	10/30/2015
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Total amount invested by Alaskan investor was $27,000 over two transactions. Total loss was $16,675,08 over a five month period. Action arose by complaint from investor to Division of Banking and Securities.

Reporting Source:	Broker
Regulatory Action Initiated By:	ALASKA
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/21/2014
Docket/Case Number:	2014-001442

Employing firm when activity occurred which led to the regulatory action:	GLOBAL ARENA CAPITAL CORPORATION
Product Type:	Debt-Corporate Debt-Municipal
Allegations:	RESPONDENTS ENGAGED IN DECEPTIVE AND MISLEADING SALES TACTICS WITH AN ELDERLY INVESTOR. RESPONDENTS DIRECTED JUNIOR AGENTS TO COLD CALL AN ELDERLY INVESTOR AND OTHER POTENTIAL CLIENTS AND TO MAKE DECEPTIVE AND MISLEADING REPRESENTATIONS REGARDING CERTAIN BONDS, PITCHING THEM AS SAFE INVESTMENTS AND PROMISING HIGH RATES OF RETURN, WHEN IN REALITY THE BONDS WERE JUNK BONDS RATED AS ONE STEP ABOVE DEFAULT STATUS BY BOND RATING AGENCIES. RESPONDENTS ALSO SENT ADDITIONAL OFFERS TO THE ELDERLY INVESTOR TO PURCHASE OTHER JUNK BONDS WITHOUT ANY CONSIDERATION FOR THE INVESTOR'S OBJECTIVES OR RISK TOLERANCE.
Current Status:	Pending
Limitation Details:	CEASE AND DESIST FROM FURTHER CONDUCT VIOLATING THE ALASKA SECURITIES ACT.

End of Report

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