

## BrokerCheck Report

### Peter Cheuk-Yan Lau

CRD# 6616319

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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).

**Peter C. Lau**

CRD# 6616319

**Currently employed by and registered with the following Firm(s):****B TOWER PRINCIPAL MARKETS LLC**

120 Broadway  
38th Floor  
New York, NY 10271  
CRD# 319604

Registered with this firm since: 03/13/2024

## 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:**

- 14 Self-Regulatory Organizations
- 0 U.S. states and territories

**This broker has passed:**

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

### Registration History

**This broker was previously registered with the following securities firm(s):****B VOLANT LIQUIDITY, LLC**

CRD# 150063  
Chicago, IL  
04/2016 - 04/2021

### 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**

## 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 14 SROs and is licensed in 0 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **TOWER PRINCIPAL MARKETS LLC**

Main Office Address: **111 COLEMAN BLVD  
SUITE 404  
MOUNT PLEASANT, SC 29464**

Firm CRD#: **319604**

SRO	Category	Status	Date
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	03/13/2024
B Cboe BYX Exchange, Inc.	Securities Trader	Approved	03/13/2024
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	03/13/2024
B Cboe BZX Exchange, Inc.	Securities Trader	Approved	03/13/2024
B Cboe BZX Exchange, Inc.	Registered Options Principal	Approved	04/08/2024
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	05/28/2025
B Cboe C2 Exchange, Inc.	Registered Options Principal	Approved	05/28/2025
B Cboe C2 Exchange, Inc.	Securities Trader	Approved	05/28/2025
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	03/13/2024
B Cboe EDGA Exchange, Inc.	Securities Trader	Approved	03/13/2024
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	03/13/2024
B Cboe EDGX Exchange, Inc.	Securities Trader	Approved	03/13/2024
B Cboe EDGX Exchange, Inc.	Registered Options Principal	Approved	04/08/2024
B Cboe Exchange, Inc.	General Securities Representative	Approved	04/10/2024
B Cboe Exchange, Inc.	Registered Options Principal	Approved	04/10/2024

## Broker Qualifications



### Employment 1 of 1, continued

SRO	Category	Status	Date
B Cboe Exchange, Inc.	Securities Trader	Approved	04/10/2024
B FINRA	General Securities Representative	Approved	03/13/2024
B FINRA	Securities Trader	Approved	03/13/2024
B FINRA	Registered Options Principal	Approved	04/08/2024
B Investors' Exchange LLC	General Securities Representative	Approved	03/13/2024
B Investors' Exchange LLC	Securities Trader	Approved	03/13/2024
B NYSE American LLC	General Securities Representative	Approved	11/14/2025
B NYSE American LLC	Registered Options Principal	Approved	11/14/2025
B NYSE American LLC	Securities Trader	Approved	11/14/2025
B NYSE American LLC	Options Member	Approved	01/23/2026
B NYSE Arca, Inc.	General Securities Representative	Approved	03/13/2024
B NYSE Arca, Inc.	Securities Trader	Approved	03/13/2024
B NYSE Arca, Inc.	Registered Options Principal	Approved	04/08/2024
B NYSE Arca, Inc.	Options Member	Approved	01/23/2026
B Nasdaq BX, Inc.	General Securities Representative	Approved	03/13/2024
B Nasdaq BX, Inc.	Securities Trader	Approved	03/13/2024
B Nasdaq BX, Inc.	Registered Options Principal	Approved	04/08/2024
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/13/2024
B Nasdaq PHLX LLC	Securities Trader	Approved	03/13/2024
B Nasdaq PHLX LLC	Registered Options Principal	Approved	04/08/2024
B Nasdaq Stock Market	General Securities Representative	Approved	03/13/2024
B Nasdaq Stock Market	Securities Trader	Approved	03/13/2024

## Broker Qualifications



### Employment 1 of 1, continued

SRO	Category	Status	Date
B Nasdaq Stock Market	Registered Options Principal	Approved	04/08/2024
B New York Stock Exchange	General Securities Representative	Approved	03/13/2024
B New York Stock Exchange	Securities Trader	Approved	03/13/2024

### Branch Office Locations

#### TOWER PRINCIPAL MARKETS LLC

120 Broadway  
38th Floor  
New York, NY 10271

#### TOWER PRINCIPAL MARKETS LLC

330 N Wabash  
Suite 1450  
Chicago, IL 60611

## 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, 5 general industry/product exams, and 0 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
Registered Options Principal Examination	Series 4	04/08/2024

#### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7TO	03/13/2024
Securities Trader Exam	Series 57TO	03/13/2024
Securities Industry Essentials Examination	SIE	10/01/2018
Securities Trader Exam	Series 57	07/14/2017
General Securities Representative Examination	Series 7	04/27/2016

#### State Securities Law Exams

Exam	Category	Date
No information reported.		

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 **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 04/2016 - 04/2021	VOLANT LIQUIDITY, LLC	150063	Chicago, IL

## 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
03/2024 - Present	Tower Principal Markets LLC	Quantitative Trader	Y	New York, NY, United States
07/2021 - Present	Tower Research Capital LLC	Quantitative Trader	Y	New York, NY, United States
05/2021 - 06/2021	Non-compete	Non-compete	N	New York, NY, United States
02/2016 - 04/2021	VOLANT HOLDING, LLC	TRADER	Y	New York, NY, United States
02/2016 - 04/2021	Volant Liquidity, LLC	TRADER	Y	New York, 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.

Name: Tower Research Capital LLC ("TRC"), Investment-related

Address: 120 Broadway 38th Floor, New York, NY 10271

Nature of business: TRC is a proprietary trading firm that trades securities and other financial instruments for the account of its affiliates. Three registered Broker-Dealers (TRC Markets LLC, Tower Principal Markets LLC, Latour Trading LLC) are among its affiliated entities.

Start date: 07/2021

10 hours per month, some of which are during securities trading hours

Position / duties: Provide services in support of the proprietary trading business of TRC

## End of Report



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