

Peter J. Pfeffer

Employment:

Merrill Lynch Pierce Fenner & Smith - '69
Loewi & Company - '73
Blunt, Ellis & Loewi Incorporated - (Merger / Name Change)
Kemper Securities Corporation - '88 (Successor firm to B.E.L)
Investors Fiduciary Corporation - (affiliated trust company)
London Investment Trust ("LIT") - '91
Internationale Nederlanden Gruppe ("ING") / Baring Bros. - '94
LIT Division of Speer Leeds & Kellogg - '97 - 2001

Experience:

NYSE / NASD Registered Representative
NFA Associated Person / Branch Manager
NYSE Branch Office Manager
NASD Principal
Regional Manager - recruiting, training, marketing, supervision of Registered Representatives / branch managers
Executive Vice President, Kemper Securities Corp. - divisional / P & L responsibility
Chairman - Investors Fiduciary Corporation (Trust Company)
Executive Director Correspondent Services - order execution / clearing, omnibus & fully-disclosed services
Consultant to major Japanese & Korean institutions - instructed key employees in year-long courses in trading of capital & derivative markets - (real-time trading with funded accounts)
Instructor - Trained more than 500 stock & futures brokers
Contributed to / wrote Compliance & Procedures Manuals; Implemented compliance/control systems, procedures
Corporate finance - underwriting, private placement, merger / divestiture / acquisition

Former Member:

Chicago Board of Trade, Chi. Mercantile Exchange, Chi. Board Options Exchange, Int'l Monetary Market, Intex, MCE, Association of Certified Fraud Examiners (Securities)

Former Director:

National Futures Association (self-regulatory org.), Loewi Financial Companies Ltd., Investors Fiduciary Corp, INTEX (First offshore electronic exchange).

Arbitrator:

Exchanges, National Futures Association - Appellate panelist

Registrations:

S-3 Commodity Futures), S-7 (General Securities), S-8 (Sales Supervision), S-8BM (NYSE Branch Office Manager), S-24 (Securities Principal), S-52 (Municipal), S63 (States' Blue Sky)

Dispute Resolution Experience:

NASD - FINRA, Exchange, NFA, and AAA arbitration; Federal Reparations Proceedings; Litigation - jury and bench trials - Federal & State. (Litigation / arbitration experience since late '70's)
Voting Member – Securities Experts Roundtable

Summary: 40-year veteran of the Securities and Derivatives industry. Progression of responsibilities from stockbroker to executive vice president / director; training, managing and supervising many facets of investment and proprietary trading, including product development / distribution; Corporate Finance.

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