

Peter J. Pfeffer

PETER J. PFEFFER

WALSH, PFEFFER & CO.

**605 Woodhaven Drive
Mundelein, IL 60060
(847) 837-0791**

Employment:

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

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
Executive Vice President, Kemper 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
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. (predecessor company to Kemper, First Union), Investors Fiduciary Corp, INTEX (First offshore electronic exchange).

Arbitrator:

Exchanges, NFA, 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) (All granted 1969 thru 1980)

Dispute Resolution Experience:

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

1353 W. Maple - Unit 105, Mundelein, IL 60060 847-837-0791

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Summary: Continuous employment in the Securities and Derivatives industry since 1969. Progression of responsibilities from account executive to executive vice president, training, managing and supervising most facets of investment and trading, including product development and distribution; Corporate Finance. Recent case history and attorney references available.

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