

This brochure supplement provides information about Alison A. Peck that supplements the Peck Wealth Management brochure. You should have received a copy of that brochure. Please contact Alison A. Peck, Principal if you did not receive Peck Wealth Management's brochure or if you have any questions about the contents of this supplement.

# **Peck Wealth Management**

**Form ADV Part 2B – Individual Disclosure Brochure**

for

**Alison A. Peck**

Personal CRD Number: 1058026

Investment Adviser Representative

Peck Wealth Management  
424 Madison Avenue  
New York, NY, 10017  
212.808.9143  
[apec@peckwealth.com](mailto:apec@peckwealth.com)

## **Item 2: Educational Background and Business Experience**

**Name:** Alison A. Peck  
**Born:** 1955

### **Education Background and Professional Designations:**

#### **Education:**

BBA Finance, University of Memphis – 1977  
Graduate Business, University of Texas

#### **Designations:**

##### **CFA – Chartered Financial Analyst**

###### **CFA MINIMUM QUALIFICATIONS:**

- Bachelor's degree (or equivalent, as assessed by CFA institute)
- Must pass three six-hour exams
- Must have 48 months of qualified, professional work experience.
- CFA charter holders are also obligated to follow the CFA's Code of Ethics and Standards governing professional conduct.

#### **Business Background:**

2011 – Present	Principal Peck Wealth Management
2008 – 2011	Portfolio Manager/Investment Advisor Dock Street Asset Management
2005 – 2008	Portfolio Manager JPMorgan Private Bank
2005 – 2005	Portfolio Manager Goldman Sachs Trust Co.
2002 – 2005	Portfolio Manager HSBC Bank
1998 – 2002	Portfolio Manager US Trust Company

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

### **Item 4: Other Business Activities**

Alison A. Peck is not engaged in any investment-related business or occupation (other than this advisory firm).

### **Item 5: Additional Compensation**

Other than salary, annual bonuses, regular bonuses, Alison A. Peck does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Peck Wealth Management.

### **Item 6: Supervision**

As the only owner and representative of Peck Wealth Management, Alison A. Peck supervises all duties and activities of the firm. Alison A. Peck's contact information is on the cover page of this disclosure document.

### **Item 7: Requirements For State Registered Advisers**

This disclosure is required by New York securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.

A. Alison A. Peck has **NOT** been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.
2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.

B. Alison A. Peck has **NOT** been the subject of a bankruptcy petition at any time.