



## IAPD Report

# Peter Sean McDonnell

CRD# 1374657

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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.



## **IAPD Information About Representatives**

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### **What is included in a IAPD report?**

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### **Where did this information come from?**

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### **How current is this information?**

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### **Need help interpreting this report?**

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### **What if I want to check the background of an Individual Broker or Brokerage Firm?**

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### **Are there other resources I can use to check the background of investment professionals?**

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### Peter Sean McDonnell (CRD# 1374657)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **10/04/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	INNOVATION PARTNERS LLC	CRD# 146344	09/27/2024
<b>IA</b>	IP FINANCIAL ADVISORY SERVICES LLC	CRD# 305772	10/01/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>B</b>	GREAT POINT CAPITAL LLC	114203	CHICAGO, IL	01/27/2023 - 03/05/2024
<b>B</b>	KINGSBURY CAPITAL, INC.	7638	EVANSTON, IL	04/22/2015 - 05/07/2015
<b>B</b>	ROTH CAPITAL PARTNERS, LLC	15407	CHICAGO, IL	01/17/2013 - 04/02/2015

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

**No**




## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 1 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **IP FINANCIAL ADVISORY SERVICES LLC**  
Main Address: 5950 FAIRVIEW ROAD, SUITE 140  
CHARLOTTE, NC 28210  
Firm ID#: 305772

	Regulator	Registration	Status	Date
	Illinois	Investment Adviser Representative	Approved	10/01/2024

#### Branch Office Locations

**IP FINANCIAL ADVISORY SERVICES LLC**  
Chicago, IL

#### Employment 2 of 2

Firm Name: **INNOVATION PARTNERS LLC**  
Main Address: 5950 FAIRVIEW ROAD  
SUITE 140  
CHARLOTTE, NC 28210  
Firm ID#: 146344

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	09/27/2024
	Illinois	Agent	Approved	09/27/2024

#### Branch Office Locations

**INNOVATION PARTNERS LLC**  
Chicago, IL





## Qualifications

### PASSED INDUSTRY EXAMS






This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 2 principal/supervisory exams, 5 general industry/product exams, and 3 state securities law exams.**





#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	08/03/1992
	Financial and Operations Principal Examination (S27)	Series 27	06/24/1992

#### General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7TO)	Series 7TO	01/27/2023
	Securities Industry Essentials Examination (SIE)	SIE	05/02/2022
	National Commodity Futures Examination (S3)	Series 3	05/22/2009
	Limited Representative-Equity Trader Exam (S55)	Series 55	09/01/2000
	General Securities Representative Examination (S7)	Series 7	06/15/1985

#### State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	02/24/2023
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/01/2019
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/14/1985



## PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/27/2023 - 03/05/2024	GREAT POINT CAPITAL LLC	CRD# 114203	CHICAGO, IL
B	04/22/2015 - 05/07/2015	KINGSBURY CAPITAL, INC.	CRD# 7638	EVANSTON, IL
B	01/17/2013 - 04/02/2015	ROTH CAPITAL PARTNERS, LLC	CRD# 15407	CHICAGO, IL
IA	01/17/2013 - 04/02/2015	ROTH CAPITAL PARTNERS, LLC	CRD# 15407	CHICAGO, IL
IA	02/20/2007 - 11/20/2012	ADVANCED EQUITIES, INC.	CRD# 35545	CHICAGO, IL
B	02/15/2007 - 11/20/2012	ADVANCED EQUITIES, INC.	CRD# 35545	CHICAGO, IL
IA	10/09/2006 - 02/13/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	CHICAGO, IL
B	09/21/2006 - 02/13/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	CHICAGO, IL
B	10/27/2000 - 09/18/2006	CIVILIAN CAPITAL, INC.	CRD# 104093	GREENWICH, CT
B	10/13/1992 - 06/14/2006	MCDONNELL, INC.	CRD# 30080	KENILWORTH, IL
B	08/30/1989 - 04/27/1992	LIT AMERICA, INC.	CRD# 22381	CHICAGO, IL
B	04/23/1987 - 03/11/1989	REFCO SECURITIES, INC.	CRD# 14094	
B	06/18/1985 - 11/25/1985	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2024 - Present	IP Financial Advisory Services LLC	Investment Advisor Representative	Y	Charlotte, NC, United States



## Registration & Employment History



### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2024 - Present	IP Financial Advisory Services LLC	Investment Advisor Representative	Y	Charlotte, NC, United States
09/2024 - Present	Innovation Partners LLC	Registered Representative	Y	Charlotte, NC, United States
08/2022 - Present	Tide Rock Investors LLC	Manager	N	Chicago, IL, United States
11/2020 - Present	McDonnell Advisory LLC	Manager	N	Chicago, IL, United States
01/2023 - 03/2024	Great Point Capital, LLC	Registered Representative	Y	Chicago, IL, United States
11/2019 - 01/2022	Client Relations	Associate	N	Evanston, IL, United States
04/2015 - 12/2019	Springbank	President	N	Chicago, IL, United States



### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

1) Tide Rock Investors 1 LLC. Start: 08/2022. Manager. Chicago, IL. SPV platform for the purpose of investing in Tide Rock YieldCo LLC, a private equity holding company. Less than 1 hr per week.\_\_\_\_

2) McDonnell Advisory LLC. Start: 11/2020. Manager. Chicago, IL. Reporting, accounting, tax for Tide Rock Investors 1 LLC & McAlpha LLC. Less than 1hr per week.\_\_\_\_

3) McAlpha LLC. Start: 07/2023. Manager. Chicago, IL. <https://www.innventure.com/>. Communicate with members and innventure. Less than 1 hr per week.\_\_\_\_

4) The Prime Group Inc. Start: 03/2024. Managing Director. 120 N LaSalle St., Suite 2800, Chicago, IL 60602. <https://www.primegroupinc.com/>. Establishing development partners and maintaining the relationships. 30hrs per week.\_\_\_\_

5). Zumption.com. Start: 11/2012. Minority investor and advisor. 5 Andrea Way, Califon, NJ 07830. <https://zumption.com/>. Less than 1 hr per week.\_\_\_\_





## End of Report

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