



IAPD Report

JOHN GERARD LINDQUIST

CRD# 1557994

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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

JOHN GERARD LINDQUIST (CRD# 1557994)

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 **02/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WORLD EQUITY GROUP, INC.	CRD# 29087	02/27/2014
IA	WORLD EQUITY GROUP, INC.	CRD# 29087	02/27/2014
B	NORTHVIEW ADVISORS LLC	CRD# 323786	09/01/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	QUINT CAPITAL CORPORATION	26586	NEW YORK, NY	10/06/2022 - 09/21/2024
IA	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	ORLANDO, FL	05/21/2012 - 05/12/2014
B	INTERNATIONAL ASSETS ADVISORY, LLC	10645	AUSTIN, TX	04/26/2012 - 05/12/2014

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1



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 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **NORTHVIEW ADVISORS LLC**
Main Address: 300 COLE ST
AUSTIN, TX 78737
Firm ID#: 323786

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	09/01/2023
B	FINRA	General Securities Principal	Approved	09/01/2023
B	FINRA	General Securities Representative	Approved	09/01/2023
B	FINRA	General Securities Sales Supervisor	Approved	09/01/2023
B	FINRA	Investment Banking Principal	Approved	09/01/2023
B	FINRA	Investment Banking Representative	Approved	09/01/2023
B	FINRA	Municipal Securities Principal	Approved	09/01/2023
B	FINRA	Municipal Securities Representative	Approved	09/01/2023
B	FINRA	Operations Professional	Approved	09/01/2023
B	FINRA	Registered Options Principal	Approved	09/01/2023
B	Florida	Agent	Approved	07/16/2024
B	Georgia	Agent	Approved	02/26/2024
B	Texas	Agent	Approved	09/08/2023



Qualifications

Branch Office Locations

Austin, TX

Employment 2 of 2

Firm Name: **WORLD EQUITY GROUP, INC.**

Main Address: 425 N MARTINGALE RD
SUITE 1220
SCHAUMBURG, IL 60173

Firm ID#: 29087

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	02/27/2014
B	FINRA	General Securities Principal	Approved	02/27/2014
B	FINRA	General Securities Representative	Approved	02/27/2014
B	FINRA	General Securities Sales Supervisor	Approved	02/27/2014
B	FINRA	Investment Banking Representative	Approved	02/27/2014
B	FINRA	Municipal Securities Principal	Approved	02/27/2014
B	FINRA	Municipal Securities Representative	Approved	02/27/2014
B	FINRA	Registered Options Principal	Approved	02/27/2014
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	FINRA	Operations Professional	Approved	10/01/2018
B	Texas	Agent	Approved	02/27/2014
IA	Texas	Investment Adviser Representative	Approved	02/27/2014

Branch Office Locations

WORLD EQUITY GROUP, INC.



Qualifications

Austin, TX










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 7 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	07/29/1997
 Municipal Securities Principal Examination (S53)	Series 53	05/19/1995
 General Securities Principal Examination (S24)	Series 24	09/03/1993
 Financial and Operations Principal Examination (S27)	Series 27	12/04/1991
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/24/1991

General Industry/Product Exams



Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Banking Registered Representative Examination (S79)	Series 79	09/11/2013
 General Securities Representative Examination (S7)	Series 7	12/19/1987
 National Commodity Futures Examination (S3)	Series 3	06/11/1987



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	12/23/2010
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/20/1988

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	10/06/2022 - 09/21/2024	QUINT CAPITAL CORPORATION	CRD# 26586	NEW YORK, NY
IA	05/21/2012 - 05/12/2014	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	ORLANDO, FL
B	04/26/2012 - 05/12/2014	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	AUSTIN, TX
IA	02/15/2011 - 05/23/2012	WOODSTOCK FINANCIAL GROUP, INC.	CRD# 38095	AUSTIN, TX
B	08/27/2010 - 05/23/2012	WOODSTOCK FINANCIAL GROUP, INC.	CRD# 38095	AUSTIN, TX
B	08/06/2010 - 08/27/2010	CRESCENT SECURITIES GROUP, INC.	CRD# 114993	PLANO, TX
B	01/01/1995 - 08/26/2010	APS FINANCIAL CORPORATION	CRD# 10033	AUSTIN, TX
B	08/12/1991 - 12/06/1994	APS FINANCIAL CORPORATION	CRD# 10033	
B	05/16/1990 - 08/13/1991	GRUNTAL & CO. INCORPORATED	CRD# 372	NEW YORK, NY
B	12/22/1987 - 12/05/1989	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	NEW YORK, NY

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
08/2023 - Present	NORTHVIEW ADVISORS LLC	CHIEF COMPLIANCE OFFICER	Y	AUSTIN, TX, United States
02/2014 - Present	WORLD EQUITY GROUP	REGISTERED REP	Y	AUSTIN, TX, United States
09/2010 - Present	NorthView Capital Partners	49% owner/Principal	Y	Austin, TX, United States
09/2022 - 09/2024	Quint Capital Corporation	Supervisor	Y	New York, NY, United States



Registration & Employment History



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.

NorthView Capital Partners, LLC; Non-Investment related; start March 2024; Approx 30 hrs/mo, 5 hrs during trading hours, 300 Cole Street, Austin, TX 78737, Nature: Formerly NorthView Advisors, a non-FINRA registered office before name change. Holding company of NorthView Advisors, a FINRA BD. Duties: Administration, supervision and accounting.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/30/2003

Docket/Case Number: C06030008

Employing firm when activity occurred which led to the regulatory action: APS FINANCIAL CORPORATION

Product Type: No Product

Other Product Type(s):

Allegations: NASD RULES 1120(A), 2110 - A MEMBER FIRM, ACTING THROUGH LINDQUIST, PERMITTED A REGISTERED PERSON TO ACT IN A CAPACITY REQUIRING REGISTRATION WHEN SUCH PERSON WAS DEEMED INACTIVE FOR FAILING TO COMPLETE THE REGULATORY ELEMENT OF CONTINUING EDUCATION.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/30/2003

Sanctions Ordered: Censure
Monetary/Fine \$15,000.00

Other Sanctions Ordered:



Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, LINDQUIST CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS CENSURED AND FINED \$15,000, JOINTLY AND SEVERALLY.
.....	
Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	AWC INCLUDED A CENSURE AND MONETARY FINE OF \$15,000, JOINTLY AND SEVERALLY BETWEEN APPLICANT AND APS FINANCIAL CORPORATION.
Date Initiated:	10/23/2002
Docket/Case Number:	C06030008
Employing firm when activity occurred which led to the regulatory action:	APS FINANCIAL CORPORATION
Product Type:	No Product
Other Product Type(s):	
Allegations:	AS SUPERVISOR, IT WAS ALLEGED THAT I PERMITTED A REGISTERED PERSON TO ACT IN A CAPACITY REQUIRING REGISTRATION THAT WAS DEEMED INACTIVE FOR FAILING TO COMPLETE THE REGULATORY ELEMENT OF CONTINUING ED.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/30/2003
Sanctions Ordered:	Censure Monetary/Fine \$15,000.00
Other Sanctions Ordered:	
Sanction Details:	A MONETARY FINE OF \$15,000, JOINTLY AND SEVERALLY BETWEEN RESPONDENTS, APS FINANCIAL CORPORATION AND MYSELF. REQUEST FOR PAYMENT WAS SENT TO US BY THE NASD DATED JUNE 11, 2003 AND WE SUBSEQUENTLY SUBMITTED PAYMENT.
Broker Statement	AS A SUPERVISOR I WAS CENSURED AND FINED FOR PERMITTING THE REGISTERED REPRESENTATIVE TO ACT IN A "CAPACITY" REQUIRING REGISTRATION WHICH THE NASD DEEMED INACTIVE FOR FAILING TO COMPLETE THE REGULATORY CONTINUING ED. ELEMENT. AN NASD EXAMINER LED US TO BELIEVE AT THE TIME THAT THE SUPERVISORY CE ELEMENT REQUIREMENT COULD LAPSE AS LONG AS THE REP. DID NOT FUNCTION AS A SUPERVISOR WHICH HE DID NOT. THE REP WAS STILL TOLD TO TAKE THE CE BUT DID NOT. WE HAVE SINCE IMPLEMENTED NEW COMPANY PROCEDURES.



End of Report

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