



IAPD Report

JOHN PETER FERRICK

CRD# 2568789

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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 PETER FERRICK (CRD# 2568789)

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 **01/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	GREAT POINT CAPITAL LLC	CRD# 114203	11/12/2020
IA	QUINCY WELLS ADVISORS, LLC	CRD# 307477	01/10/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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
IA	GREAT POINT ADVISORS, LLC	307477	CHICAGO, IL	11/12/2020 - 12/09/2020
B	ARETE WEALTH MANAGEMENT, LLC	44856	Chicago, IL	11/17/2014 - 11/11/2020
IA	ARETE WEALTH ADVISORS, LLC	145488	CHICAGO, IL	11/14/2014 - 11/11/2020

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
Customer Dispute	1
Judgment/Lien	5



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

Employment 1 of 2

Firm Name: **GREAT POINT CAPITAL LLC**
Main Address: 200 WEST JACKSON BLVD.
SUITE 1000
CHICAGO, IL 60606
Firm ID#: 114203

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/12/2020
B	FINRA	Securities Trader	Approved	11/12/2020
B	California	Agent	Approved	01/21/2022
B	Connecticut	Agent	Approved	01/22/2022
B	Florida	Agent	Approved	11/12/2020
B	Illinois	Agent	Approved	01/10/2022
B	Indiana	Agent	Approved	02/14/2022
B	Maryland	Agent	Approved	12/05/2022
B	Michigan	Agent	Approved	01/24/2022
B	Minnesota	Agent	Approved	01/11/2022
B	Mississippi	Agent	Approved	01/02/2024
B	Nevada	Agent	Approved	02/01/2023
B	New Jersey	Agent	Approved	02/01/2022



Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	01/20/2022
B	Ohio	Agent	Approved	11/12/2020
B	Texas	Agent	Approved	01/20/2022
B	Washington	Agent	Approved	11/12/2020
B	Wisconsin	Agent	Approved	01/20/2022

Branch Office Locations

200 WEST JACKSON BLVD.
SUITE 1000
CHICAGO, IL 60606

200 WEST JACKSON BLVD.
SUITE 1000
CHICAGO, IL 60606

Employment 2 of 2

Firm Name: **QUINCY WELLS ADVISORS, LLC**
Main Address: 200 W. JACKSON BLVD. #1000
CHICAGO, IL 60606
Firm ID#: 307477

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	01/10/2022

Branch Office Locations

QUINCY WELLS ADVISORS, LLC
200 W. JACKSON BLVD. #1000
CHICAGO, IL 60606



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 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Limited Representative-Equity Trader Exam (S55)	Series 55	10/20/1999
B General Securities Representative Examination (S7)	Series 7	01/31/1995

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/14/2010
B Uniform Securities Agent State Law Examination (S63)	Series 63	10/24/2006



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
IA	11/12/2020 - 12/09/2020	GREAT POINT ADVISORS, LLC	CRD# 307477	CHICAGO, IL
B	11/17/2014 - 11/11/2020	ARETE WEALTH MANAGEMENT, LLC	CRD# 44856	Chicago, IL
IA	11/14/2014 - 11/11/2020	ARETE WEALTH ADVISORS, LLC	CRD# 145488	CHICAGO, IL
IA	01/06/2014 - 11/14/2014	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	NORTHBROOK, IL
B	11/13/2013 - 11/14/2014	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	NORTHBROOK, IL
B	01/17/2013 - 11/12/2013	ROTH CAPITAL PARTNERS, LLC	CRD# 15407	CHICAGO, IL
IA	01/17/2013 - 11/12/2013	ROTH CAPITAL PARTNERS, LLC	CRD# 15407	CHICAGO, IL
IA	01/11/2011 - 11/20/2012	ADVANCED EQUITIES, INC.	CRD# 35545	CHICAGO, IL
B	10/27/2008 - 11/20/2012	ADVANCED EQUITIES, INC.	CRD# 35545	CHICAGO, IL
B	10/16/2006 - 11/13/2008	E*TRADE CAPITAL MARKETS LLC	CRD# 111528	CHICAGO, IL
B	06/20/2005 - 03/03/2006	HARRISON TRADING GROUP, LLC	CRD# 40287	CHICAGO, IL
B	02/08/2002 - 10/02/2003	DEMPSEY & COMPANY, L.L.C.	CRD# 1625	CHICAGO, IL
B	01/31/2002 - 03/19/2002	MELVIN SPECIALISTS, L.L.C.	CRD# 34945	CHICAGO, IL
B	08/26/1999 - 12/19/2001	BLUE CHIP TRADING L.L.C.	CRD# 46892	GLEN ELLYN, IL
B	11/17/1997 - 11/15/1999	MELVIN SECURITIES, L.L.C.	CRD# 29767	CHICAGO, IL
B	03/22/1995 - 11/13/1997	TRADETECH SECURITIES L.P.	CRD# 31131	CHICAGO, IL



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	02/01/1995 - 02/27/1995	DEMPSEY & COMPANY	CRD# 1625	CHICAGO, IL

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
11/2020 - Present	Great Point Advisors, LLC	Investment Advisor Representative	Y	Chicago, IL, United States
11/2020 - Present	Great Point Capital, LLC	Registered Representative	Y	Chicago, IL, United States
11/2014 - 11/2020	ARETE WEALTH MANAGEMENT LLC	REGISTERED REPRESENTATIVE	Y	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.

Board Member for Escape therapeutics, Inc- 3800 Geer Road, Suite 200, Turlock, CA- Start date November 6, 2019- He will spend 0 hours per month during normal trading hours 1 hours outside of trading hours- This is not investment related

Trustee for the SEMPITERNUS TRUST AGREEMENT- 2218 Illinois Rd, Northbrook, IL - Start date of July 28, 2023- He will spend 0 hour per month during normal trading hours 1 hours outside of trading hours- Relationship to account owner(s):Client/Friend. The Trust agreement's sole purpose is to own life insurance policies- John Ferrick will be involved with: Fiduciary activities (trustee, attorney-in-fact, guardian, executor, personal representative, conservator, power of attorney); allowed for immediate family members only -This is not investment related

Trustee for the Hyrcania Trust Agreement- 2218 Illinois Rd, Northbrook, IL - He will spend 0 hour per month during normal trading hours 1 hours outside of trading hours- Start date of July 28, 2023- Relationship to the account owner is Client/Friend- The Trust agreement's sole purpose is to own life insurance policies- John Ferrick will be involved with: Fiduciary activities (trustee, attorney-in-fact, guardian, executor, personal representative, conservator, power of attorney); allowed for immediate family members only- This is not investment related

Managing Member for Randall and Bowes LLC, a real estate development company- 9282 MARBLE STONE DR, NAPLES, FL - Start date of January 6, 2023- The duties John will conduct are Acquisition, Financing, Disposition- John plans to spend 1-2 hours during trading hours and 1 hours outside of trading hours per month doing this- This is not investment related.

Managing Member for Castle Rock Limelight Development, LLC, a real estate development company- 9282 MARBLE STONE DR, NAPLES, FL - Start date of September 26, 2022- The duties John will conduct are Acquisition, Financing, Disposition- John plans to spend 3 hours during trading hours and 1 hours outside of trading hours per month doing this- This is not investment related.

Managing Member for 91 North Milwaukee LLC, a real estate development company- 9282 MARBLE STONE DR, NAPLES, FL -



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Start date of May 6, 2022- The duties John will conduct are Acquisition, Financing, Disposition. John plans to spend 1-2 hours during trading hours and 1 hours outside of trading hours per month doing this- This is not investment related.

Managing member with Winnetka Place LLC, a property acquisition company. 8 The Green, Suite R, Dover, DE. The start date is Aug 17, 2024. His duties will include administration and planning, and he plans to spend 5 hours per month during normal trading hours and 1 hour per month outside of normal trading hours. This is not investment related.

Life Insurance Broker. 2218 ILLINOIS RD., NORTHBROOK, IL. The start date is Dec 20, 2018. His duties will be Life Insurance sales, and he plans to spend 7 hours per month during normal trading hours and 3 hours per month outside of normal trading hours. This is investment related.

Referring real estate, business to business. 2218 Illinois Rd, Northbrook, IL. The start date is August 1, 2025. His duties will be to refer real estate developers/Construction companies to Cost Segregation Firms, and he plans to spend 3 hours per month during normal trading hours and 2 hours per month outside of normal trading hours. This is not investment related.

Life Insurance Broker for the Cash Balance Plan, a Referral Business for Defined Benefit Cash Balance Plans and Life Insurance sales. 2218 Illinois Rd., Northbrook, IL. The start date is Jan 12, 2026. His duties will be Referring small business owners to Third Party Administrator who implements CB Plans, and he plans to spend 5 hours per month during normal trading hours and 2 hours per month outside of normal trading hours. This is investment related.



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
Customer Dispute	1
Judgment/Lien	5

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: Arete Wealth Management, LLC

Allegations: Ferrick was a subject of the customer's complaint against his member firm that asserted the following causes of action: negligence, breach of fiduciary duty, negligent supervision, breach of contract, and violation of the Michigan Securities Act.

Product Type: Other: Private placement

Alleged Damages: \$186,638.29

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #19-01143](#)

Date Notice/Process Served: 04/25/2019

Arbitration Pending? No

Disposition: Award

Disposition Date: 01/28/2021

Disposition Detail: John Ferrick was a Subject Of the customer's complaint alleging Ferrick and his member firm caused sales practice violations. Ferrick's member firm is liable for and shall pay to a Claimant the sum of \$105,306.05 in compensatory damages, is liable for and shall pay to the other Claimant the sum of \$81,333.24 in



compensatory damages, is liable for and shall pay to the Claimant statutory interest in the amount of \$31,118.55, is liable for and shall pay to the other Claimant statutory interest in the amount of \$27,656.41, is liable for and shall pay to Claimants the sum of \$258,775.00 in attorneys' fees and the sum of \$10,582.73 in costs, allocated among Claimants in proportion to their respective compensatory damages plus interest awards, and is liable for and shall pay to Claimant \$300.00 to reimburse Claimant for the non-refundable portion of the filing fee previously paid to FINRA Dispute Resolution Services.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Arete Wealth Management LLC

Allegations: Customers allege unsuitable investment recommendations in early 2016.

Product Type: Other: Private Placement

Alleged Damages: \$225,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 19-01143

Filing date of arbitration/CFTC reparation or civil litigation: 04/25/2019

Customer Complaint Information

Date Complaint Received: 04/25/2019

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 01/28/2021

Settlement Amount: \$515,071.98

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [19-01143](#)

Date Notice/Process Served: 02/01/2021

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 01/28/2021



Monetary Compensation Amount:	\$515,071.98
Individual Contribution Amount:	\$0.00
Broker Statement	Arete Wealth Management completed due diligence on this offering and approved the product for their platform. I attended a two-day due diligence conference for the product. I was not asked, nor did I contribute to the settlement.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	State of Illinois
Judgment/Lien Amount:	\$21,000.95
Judgment/Lien Type:	Tax
Date Filed with Court:	01/13/2021
Date Individual Learned:	01/13/2021
Type of Court:	State Court
Name of Court:	State of Illinois
Location of Court:	Cook County, IL
Docket/Case #:	942173
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	State of Illinois
Judgment/Lien Amount:	\$10,762.10
Judgment/Lien Type:	Tax
Date Filed with Court:	10/30/2020
Date Individual Learned:	10/30/2020
Type of Court:	State Court
Name of Court:	State of Illinois
Location of Court:	Cook County, IL
Docket/Case #:	1241183
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	State of Illinois
Judgment/Lien Amount:	\$6,529.67
Judgment/Lien Type:	Tax
Date Filed with Court:	02/07/2024
Date Individual Learned:	02/07/2024
Type of Court:	State Court
Name of Court:	State of Illinois



Location of Court: Cook County, IL
Docket/Case #: 198274
Judgment/Lien Outstanding? Yes

Disclosure 4 of 5

Reporting Source: Individual
Judgment/Lien Holder: State of Illinois
Judgment/Lien Amount: \$1,969.87
Judgment/Lien Type: Tax
Date Filed with Court: 02/22/2024
Date Individual Learned: 02/22/2024
Type of Court: State Court
Name of Court: State of Illinois
Location of Court: Cook County, IL
Docket/Case #: 198380
Judgment/Lien Outstanding? Yes

Disclosure 5 of 5

Reporting Source: Individual
Judgment/Lien Holder: State of Illinois
Judgment/Lien Amount: \$13,779.81
Judgment/Lien Type: Tax
Date Filed with Court: 08/18/2020
Date Individual Learned: 08/18/2020
Type of Court: State Court
Name of Court: State of Illinois
Location of Court: Cook County, IL
Docket/Case #: 8890847
Judgment/Lien Outstanding? Yes



End of Report

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