IAPD Report

John G Chess

CRD# 4812430

Section Title | **Page(s)**

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 G Chess (CRD# 4812430)

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 **05/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CONCORDE ASSET MANAGEMENT, LLC	CRD# 140367	02/04/2021
B	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	02/04/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	SECURITIES AMERICA ADVISORS, INC.	110518	COLUMBUS, OH	07/17/2020 - 02/02/2021
B	SECURITIES AMERICA, INC.	10205	COLUMBUS, OH	07/17/2020 - 02/02/2021
IA	INVESTACORP ADVISORY SERVICES INC	109011	COLUMBUS, OH	01/06/2011 - 07/17/2020

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
Criminal	2
Customer Dispute	2

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

Employment 1 of 2

Firm Name: **CONCORDE ASSET MANAGEMENT, LLC**

Main Address: 3909 RESEARCH PARK DRIVE
SUITE 200
ANN ARBOR, MI 48108

Firm ID#: 140367

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	02/04/2021
IA	Florida	Investment Adviser Representative	Approved	12/09/2021
IA	Hawaii	Investment Adviser Representative	Approved	11/08/2024
IA	Illinois	Investment Adviser Representative	Approved	02/08/2021
IA	Michigan	Investment Adviser Representative	Approved	02/08/2021
IA	Nevada	Investment Adviser Representative	Approved	02/25/2021
IA	North Carolina	Investment Adviser Representative	Approved	02/05/2021
IA	Ohio	Investment Adviser Representative	Approved	02/04/2021
IA	Pennsylvania	Investment Adviser Representative	Approved	02/09/2021

Branch Office Locations

CONCORDE ASSET MANAGEMENT, LLC
Columbus, OH

Employment 2 of 2

Firm Name: **CONCORDE INVESTMENT SERVICES, LLC**

Main Address: 3909 RESEARCH PARK DRIVE
SUITE 200

Qualifications

	ANN ARBOR, MI 48108
Firm ID#:	151604

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	02/04/2021
B	FINRA	General Securities Principal	Approved	02/04/2021
B	FINRA	General Securities Representative	Approved	02/04/2021
B	Florida	Agent	Approved	02/04/2021
B	Hawaii	Agent	Approved	11/08/2024
B	Illinois	Agent	Approved	02/04/2021
B	Ohio	Agent	Approved	02/04/2021
B	West Virginia	Agent	Approved	04/11/2022

Branch Office Locations

Columbus, OH

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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	08/11/2006

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/21/2004
B	Direct Participation Programs Representative Examination (S22)	Series 22	07/14/2004

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/05/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/10/2004

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	07/17/2020 - 02/02/2021	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	COLUMBUS, OH
B	07/17/2020 - 02/02/2021	SECURITIES AMERICA, INC.	CRD# 10205	COLUMBUS, OH
IA	01/06/2011 - 07/17/2020	INVESTACORP ADVISORY SERVICES INC	CRD# 109011	COLUMBUS, OH
B	01/03/2011 - 07/17/2020	INVESTACORP, INC.	CRD# 7684	COLUMBUS, OH
IA	07/19/2007 - 12/31/2010	INVESTORS CAPITAL ADVISORY	CRD# 30613	COLUMBUS, OH
B	07/12/2007 - 12/31/2010	INVESTORS CAPITAL CORP.	CRD# 30613	COLUMBUS, OH
IA	05/15/2006 - 07/20/2007	GUNNALLEN FINANCIAL, INC	CRD# 17609	COLUMBUS, OH
B	09/13/2005 - 07/20/2007	GUNNALLEN FINANCIAL, INC	CRD# 17609	COLUMBUS, OH
B	01/20/2005 - 09/14/2005	LASALLE ST SECURITIES, L.L.C.	CRD# 7191	ELMHURST, IL
B	10/04/2004 - 11/30/2004	NNN CAPITAL CORP.	CRD# 17932	SANTA ANA, CA

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
02/2021 - Present	CONCORDE ASSET MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	ANN ARBOR, MI, United States
02/2021 - Present	CONCORDE INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	ANN ARBOR, MI, United States
01/2007 - Present	REALTY INVEST	PRESIDENT	N	COLUMBIS, OH, United States
07/2020 - 02/2021	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	COLUMBUS, OH, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2020 - 02/2021	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	COLUMBUS, OH, United States
01/2011 - 07/2020	INVESTACORP ADVISORY SERVICES	REGISTERED INVESTMENT ADVISOR	Y	MIAMI, FL, United States
01/2011 - 07/2020	INVESTACORP INC	REGISTERED REPRESENTATIVE	Y	MIAMI, FL, 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) Realty Invest; Investment related; Start date June 2004; Columbus OH; President; Real Estate Broker engaging in real estate related activities; Full time during trading hours. Full time during trading hours.
2) Chess Financial; Investment related; Start date: January 2010; Columbus OH; DBA for securities and investment advisory related activities; Full time during trading hours.
3) Concorde Asset Management, LLC; Investment related; Start date: February 2021; Ann Arbor, MI; Investment advisor representative conducting advisory service related activities; Full time during trading hours.
4) Concorde Insurance Agency, Inc.; Investment related; Start date: February 2021; Ann Arbor, MI; Insurance related activities; Part time during trading hours.
5) 5055 Dierker JC LLC, Investment related, 5055 Dierker Rd, Columbus Oh 43220, Owner, Own real estate, property management under Realty Invest. 1-5 hours/month during non trading hours, 1-5 hours/month during trading hours.

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
Criminal	2
Customer Dispute	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source:	Individual
Court Details:	CUMBERLAND, MD - DOCKET/CASE NUMBER NOT AVAILABLE
Charge Date:	12/09/1986
Charge Details:	MR. CHESS WAS INVOLVED IN AN AUTOMOBILE ACCIDENT ON ICY ROADS IN MARYLAND. MARIJUANA WAS FOUND IN THE CAR. DUE TO THE FACT THAT HE HAD CROSSED STATE LINES IN THE AUTOMOBILE THE CHARGE WAS INITIALLY A FELONY. MR. CHESS PLEADED GUILTY TO SIMPLE POSSESSION (A MISDEMEANOR), HE WAS FINED AND SENTENCED TO 1 YEAR OF PROBATION.
Felony?	Yes
Current Status:	Final
Status Date:	01/01/1987
Disposition Details:	CONVICTED - 12/1986 - ONE YEAR PROBATION AND FINE (AMOUNT N/A)

Disclosure 2 of 2

Reporting Source:	Individual
Court Details:	WASHINGTON COUNTY, PA - DOCKET/CASE NUMBER NOT AVAILABLE
Charge Date:	03/07/1980
Charge Details:	MR. CHESS WAS WITH A GROUP, AND SOMEONE FROM HIS GROUP STOLE SOMETHING FROM A CONVENIENCE STORE. MR. CHESS PLEADED GUILTY TO RETAIL THEFT AND WAS SENTENCED TO ONE YEAR OF PROBATION.
Felony?	No
Current Status:	Final
Status Date:	06/01/1980

Disposition Details: CONVICTED - 1980 - ONE YEAR OF PROBATION

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORP.
Allegations:	INVESTMENTS MADE IN 2008 ARE NOW ALLEGED TO HAVE BEEN UNSUITABLE.
Product Type:	Other: TIC
Alleged Damages:	$1,361,799.80
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 #:	14-01865
Filing date of arbitration/CFTC reparation or civil litigation:	06/09/2014

Customer Complaint Information

Date Complaint Received:	06/12/2014
Complaint Pending?	No
Status:	Settled
Status Date:	01/14/2016
Settlement Amount:	$500,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORP.
Allegations:	INVESTMENTS MADE IN 2008 ARE NOW ALLEGED TO HAVE BEEN UNSUITABLE.
Product Type:	Other: TIC
Alleged Damages:	$1,361,799.80

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 #:	14-01865
Filing date of arbitration/CFTC reparation or civil litigation:	06/09/2014

Customer Complaint Information

Date Complaint Received:	06/12/2014
Complaint Pending?	No
Status:	Settled
Status Date:	01/14/2016
Settlement Amount:	$500,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORP
Allegations:	SUITABILITY OF INVESTMENTS MADE IN 2007
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$2,600,000.00
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 #:	13-02228
Filing date of arbitration/CFTC reparation or civil litigation:	07/30/2013

Customer Complaint Information

Date Complaint Received:	08/14/2013
Complaint Pending?	No
Status:	Settled

Status Date:	10/29/2014
Settlement Amount:	$362,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORP
Allegations:	SUITABILITY OF INVESTMENTS MADE IN 2007
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$2,600,000.00
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 #:	13-02228
Filing date of arbitration/CFTC reparation or civil litigation:	07/30/2013

Customer Complaint Information

Date Complaint Received:	08/14/2013
Complaint Pending?	No
Status:	Settled
Status Date:	10/29/2014
Settlement Amount:	$362,500.00
Individual Contribution Amount:	$0.00

End of Report

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