



## IAPD Report

# Karl Wolfgang Suess

CRD# 5255922

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

### Karl Wolfgang Suess (CRD# 5255922)

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 **01/16/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	GREAT POINT CAPITAL LLC	CRD# 114203	11/13/2020
<b>IA</b>	QUINCY WELLS ADVISORS, LLC	CRD# 307477	01/07/2022

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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>IA</b>	GREAT POINT ADVISORS, LLC	307477	Boston, MA	11/13/2020 - 12/31/2021
<b>IA</b>	CONCORDE ASSET MANAGEMENT, LLC	140367	Boston, MA	10/30/2019 - 11/16/2020
<b>B</b>	CONCORDE INVESTMENT SERVICES, LLC	151604	Boston, MA	10/23/2019 - 11/16/2020

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	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 **6** 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>B</b>	FINRA	General Securities Representative	Approved	11/13/2020
<b>B</b>	California	Agent	Approved	06/16/2021
<b>B</b>	Colorado	Agent	Approved	01/13/2026
<b>B</b>	Maine	Agent	Approved	09/12/2025
<b>B</b>	Massachusetts	Agent	Approved	11/13/2020
<b>B</b>	New Hampshire	Agent	Approved	01/12/2021
<b>B</b>	Utah	Agent	Approved	11/21/2024

### Branch Office Locations


Boston, MA

### Employment 2 of 2

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



## Qualifications

Regulator	Registration	Status	Date
 Massachusetts	Investment Adviser Representative	Approved	07/11/2022

## Branch Office Locations

**QUINCY WELLS ADVISORS, LLC**  
Boston, MA



## 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, 3 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	04/18/2016
<b>B</b> Proprietary Trader Qualification Examination (S56)	Series 56	08/24/2011

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	05/04/2016



### 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	11/13/2020 - 12/31/2021	GREAT POINT ADVISORS, LLC	CRD# 307477	Boston, MA
IA	10/30/2019 - 11/16/2020	CONCORDE ASSET MANAGEMENT, LLC	CRD# 140367	Boston, MA
B	10/23/2019 - 11/16/2020	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	Boston, MA
IA	10/14/2016 - 10/15/2019	ARETE WEALTH ADVISORS, LLC	CRD# 145488	CHICAGO, IL
B	04/18/2016 - 10/15/2019	ARETE WEALTH MANAGEMENT, LLC	CRD# 44856	Chicago, IL
B	07/24/2012 - 05/31/2013	RONIN CAPITAL, LLC	CRD# 118428	CHICAGO, IL
B	03/25/2011 - 10/06/2011	303 EQUITY TRADING GROUP II, LLC	CRD# 147292	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
10/2019 - 11/2020	Concorde Asset Management, LLC	Investment Advisor Representative	Y	Livonia, MI, United States
10/2019 - 11/2020	Concorde Investment Services, LLC	Registered Representative	Y	Livonia, MI, United States
10/2016 - 10/2019	Arete Wealth Advisors LLC	Investment Advisor Representative	Y	Chicago, IL, United States
02/2016 - 10/2019	Arete Wealth Management LLC	Registered Representative	Y	Chicago, IL, United States
01/2015 - 02/2016	Kale Realty	Real Estate Broker	N	Chicago, IL, 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.

Wolfgang Suess will be a real estate agent with Reva Capital Realty. The address for Reva Capital Realty is 400 Trade Center, Ste 5900 Woburn, MA 01801. Start date April 2019. He plans to spend 0 hours per month during regular trading hours and 0 hours per month outside of trading hours. This is not investment related.

Wolfgang Suess will be on the board of Beacon Hill Network; this is an unpaid position in a networking group. The address of Beacon Hill Network is Beacon Hill, MA. Start date July 2022. He plans to spend 8 hours per month during regular trading hours and 0 hours per month outside of trading hours. This is not investment related.

Wolfgang Suess will be associated with Capitalize Wealth Management, LLC that will operate a DBA and will also make periodic pre-authorized investments. The address for Capitalize Wealth Management, LLC is 200 West Jackson Blvd, suite 1000, Chicago, IL, 60606. Start date May 2022. He plans to spend 160 hours per month during regular trading hours and 0 hours per month outside of trading hours. This is investment related.

Karl Suess will be a Referral Partner at Lost & Found Inc. a Cost Segregation business. The address of Lost & Found Inc. is 558 Williamson Rd Mooresville, NC 28117. The start date is Jan 15, 2026. His duties will be Refer clients that need a cost segregation study, and he plans to spend 1 hour per month during normal trading hours and 1 hour per month outside of normal trading hours. This is not 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
Criminal	1

### 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 1

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	THE SEVENTH JUDICIAL CIRCUIT OF ILLINOIS
<b>Location of Court:</b>	SPRINGFIELD ILLINOIS USA
<b>Docket/Case #:</b>	92-CF-417
<b>Charge Date:</b>	07/02/1992
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	DELIVERY OF CONTROLLED SUBSTANCE
<b>No of Counts:</b>	2
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	GUILTY
<b>Disposition of charge:</b>	Pled guilty
<b>Current Status:</b>	Final
<b>Status Date:</b>	09/14/1993
<b>Disposition Date:</b>	09/14/1993
<b>Sentence/Penalty:</b>	30 MONTHS PROBATION (STARTING 9/14/1993 ENDING 03/14/1996) PROBATION ENDED 6 MONTHS EARLY FOR GOOD BEHAVIOR. 100 HOURS OF COMMUNITY SERVICE DONE DURING PROBATION. \$1000 FINE PAID 09/14/1993
<b>Broker Statement</b>	THE SAID INCIDENT TOOK PLACE IN JUNE OF 1991 WHEN I JUST COMPLETED MY JUNIOR YEAR OF HIGH SCHOOL. I HAD ALSO TURNED 17 SEVERAL WEEKS EARLIER. I WAS HANGING AROUND THE WRONG



CROWD AND DEFINATELY LEARNED MY LESSON. AFTER GOOD BEHAVIOR, PAYING THE FINE EARLY AND COMPLETING MY COMMUNITY SERVICE EARLY, THE PROBATION OFFICER HAD PROBATION SHORTENED BY 6 MONTHS.



## End of Report

This page is intentionally left blank.