



IAPD Report

JOHN WILLIAM BACH JR

CRD# 5436710

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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 WILLIAM BACH JR (CRD# 5436710)

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 **10/02/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA INVEST CAPITAL PARTNERS	CRD# 287987	04/12/2017

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **7** 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 BOND TECH INC	105979	SPRINGBORO, OH	03/15/2017 - 01/06/2023
B L.M. KOHN & COMPANY	27913	SPRINGBORO, OH	02/13/2019 - 07/26/2022
B HARBOR FINANCIAL SERVICES, LLC	25700	Springboro, OH	03/31/2017 - 02/06/2018

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
Termination	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 **7** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **INVEST CAPITAL PARTNERS**
Main Address: 550 S. MAIN STREET
SPRINGBORO, OH 45066
Firm ID#: 287987

	Regulator	Registration	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	10/02/2025
IA	California	Investment Adviser Representative	Approved	04/06/2018
IA	Florida	Investment Adviser Representative	Approved	07/18/2018
IA	Illinois	Investment Adviser Representative	Approved	10/15/2025
IA	Indiana	Investment Adviser Representative	Approved	05/03/2018
IA	Michigan	Investment Adviser Representative	Approved	10/06/2025
IA	Ohio	Investment Adviser Representative	Approved	04/12/2017

Branch Office Locations

INVEST CAPITAL PARTNERS
550 S. MAIN STREET
SPRINGBORO, OH 45066



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	01/19/2018
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	03/22/2016
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/14/2016

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	02/06/2018
Futures Managed Funds Examination (S31)	Series 31	12/09/2009
General Securities Representative Examination (S7)	Series 7	02/08/2008

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	03/17/2008

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



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	03/15/2017 - 01/06/2023	BOND TECH INC	CRD# 105979	SPRINGBORO, OH
B	02/13/2019 - 07/26/2022	L.M. KOHN & COMPANY	CRD# 27913	SPRINGBORO, OH
B	03/31/2017 - 02/06/2018	HARBOR FINANCIAL SERVICES, LLC	CRD# 25700	Springboro, OH
IA	10/06/2015 - 04/03/2017	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	SPRINGBORO, OH
B	10/02/2015 - 03/31/2017	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	SPRINGBORO, OH
B	02/13/2013 - 10/06/2015	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	MIAMISBURG, OH
IA	02/13/2013 - 10/06/2015	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	MIAMISBURG, OH
B	03/16/2012 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	MIAMISBURG, OH
IA	03/16/2012 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	MIAMISBURG, OH
IA	10/15/2009 - 04/13/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	CENTERVILLE, OH
B	10/14/2009 - 04/13/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	CENTERVILLE, OH
B	07/14/2008 - 11/23/2009	CFD INVESTMENTS, INC.	CRD# 25427	INDIANAPOLIS, IN
IA	07/14/2008 - 11/23/2009	CREATIVE FINANCIAL DESIGNS, INC.	CRD# 109032	INDIANAPOLIS, IN
IA	03/19/2008 - 07/17/2008	WADDELL & REED, INC.	CRD# 866	INDIANAPOLIS, IN
B	02/11/2008 - 07/17/2008	WADDELL & REED, INC.	CRD# 866	INDIANAPOLIS, IN



Registration & Employment History

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
04/2017 - Present	INVEST CAPITAL PARTNERS	Treasurer / Investment Advisor Representative	Y	SPRINGBORO, OH, United States
11/2016 - Present	Midwestern Insurance Management, LLC	Owner	Y	Springboro, OH, United States
03/2016 - Present	MIDWESTERN WEALTH MANAGEMENT	SUPPORT COMPANY/DBA (OWNER)	N	SPRINGBORO, OH, United States
09/2015 - Present	BOILERMAKER WEALTH MANAGEMENT LLC	OWNER OF RENTAL PROPERTY	N	SPRINGBORO, OH, United States
08/2016 - 12/2022	BOND-TECH, INC.	Chief Compliance Officer	Y	SPRINGBORO, OH, United States
01/2019 - 07/2022	L.M. KOHN & COMPANY	REGISTERED REPRESENTATIVE	Y	CINCINNATI, OH, United States
05/2018 - 02/2019	Main Street Not Wall Street	CEO	Y	Springboro, OH, United States
03/2017 - 02/2018	HARBOR FINANCIAL SERVICES, LLC	OSJ Branch Manager	Y	Springboro, OH, United States
10/2015 - 03/2017	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	SPRINGBORO, OH, United States
04/2016 - 11/2016	STATION 1919, LLC	PROPRIETOR/OWNER	Y	SPRINGBORO, OH, 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) MIDWESTERN WEALTH MANAGEMENT, WWW.MWMRJ.COM. INVESTMENT AND ADVISORY RELATED SUPPORT COMPANY/DBA (OWNER), STARTED 10/2015, SPRINGBORO, OH, ADMINISTRATIVE DUTIES, 4 HOURS DEVOTED/MONTH, 0 DURING TRADING.

(2) BOILERMAKER WEALTH MANAGEMENT, LLC, NON-INVESTMENT RELATED REAL ESTATE HOLDING COMPANY FOR Office space, STARTED 9/2015, SPRINGBORO, OH, SOLE MANAGING MEMBER/OWNER, PAY BILLS ASSOCIATED WITH THE BUILDING, 8 HOURS DEVOTED/MONTH, 0 DURING TRADING HOURS.

(3) Midwestern Insurance Management. INVESTMENT RELATED. STARTED:09/2016. SPRINGBORO, OH. SOLE MANAGING MEMBER/OWNER. 10 HRS PER MONTH, 2 DURING TRADING HRS. Insurance Agency to sell Health, Life, Property and Casualty Insurance.

(4) Invest Capital Partners, Co, Investment-Related, 4/2017; 550 S. Main Street, Springboro, OH 45066. Registered Investment Advisor, CEO/Investment Advisor Representative, 120 hours/month, 110 during trading hours. Financial Planning and account management.

(5) Riverview Accounting & Advisory, Co., Not Investment Related, 9/2024; 7185 Liberty Centre Dr., Ste. F, West Chester



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Township, OH 45069, Tax Advisor. 20 hours/month; 0 during trading hours, Enrolled Agent.



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
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Termination	2
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Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 2

Reporting Source:	Firm
Firm Name:	Harbor Financial Services, LLC
Termination Type:	Discharged
Termination Date:	02/02/2018
Allegations:	The representative was discharged for failure to follow Compliance instructions and firm policies including opening an account the Firm would not have otherwise approved as well as concerns regarding the representative acting as broker of record in client accounts held at outside mutual funds. Not client transaction related.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	HARBOR FINANCIAL SERVICES, LLC
Termination Type:	Discharged
Termination Date:	02/02/2018
Allegations:	n/a
Product Type:	No Product

Broker Statement
In the course of operating my independent SEC Registered Investment Advisory firm, there were conflicts with compliance and supervisory requirements between my firm/myself and Harbor Financial Services. These conflicts were never resolved to the satisfaction of both firms.

Disclosure 2 of 2



Reporting Source: Firm
Firm Name: MORGAN STANLEY SMITH BARNEY
Termination Type: Discharged
Termination Date: 03/15/2012
Allegations: Discharge - Concerns regarding the advisor acting as broker of record in client accounts held at outside mutual funds.
Product Type: No Product

Reporting Source: Individual
Firm Name: MORGAN STANLEY SMITH BARNEY
Termination Type: Discharged
Termination Date: 03/15/2012
Allegations: Discharge
Product Type: No Product
Broker Statement Advisor was broker of record on client accounts held directly at mutual fund company in order to lower client expenses. Morgan Stanley Smith Barney approved and received compensation for all accounts held directly at the mutual fund company.



End of Report

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