



IAPD Report

John H Chapel

CRD# 857747

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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 H Chapel (CRD# 857747)

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 **10/26/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	APW CAPITAL, INC.	CRD# 43814	01/02/2019
IA	AURORA PRIVATE WEALTH, INC.	CRD# 281604	01/03/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	PURSHE KAPLAN STERLING INVESTMENTS	35747	Flemington, NJ	05/02/2016 - 12/31/2018
IA	INSIGHT PRIVATE ADVISORS, LLC	169017	FLEMINGTON, NJ	01/21/2015 - 12/31/2018
B	LPL FINANCIAL LLC	6413	FLEMINGTON, NJ	05/17/2013 - 05/02/2016

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

Employment 1 of 2

Firm Name: **APW CAPITAL, INC.**
Main Address: 100 ENTERPRISE DRIVE, SUITE 504
ROCKAWAY, NJ 07866
Firm ID#: 43814

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/02/2019
B	Maryland	Agent	Approved	10/27/2021
B	New Jersey	Agent	Approved	01/03/2019
B	New York	Agent	Approved	05/22/2019
B	Rhode Island	Agent	Approved	01/03/2019

Branch Office Locations

COMPREHENSIVE ASSET MANAGEMENT AND SERVICING, INC.

Charlestown, RI

Employment 2 of 2

Firm Name: **AURORA PRIVATE WEALTH, INC.**
Main Address: 100 ENTERPRISE DRIVE
SUITE 504
ROCKAWAY, NJ 07866
Firm ID#: 281604

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	01/03/2019

Branch Office Locations



Qualifications

AURORA PRIVATE WEALTH, INC.

11 Ocean Ridge Drive
Charlestown, RI 02813






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, 2 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	09/29/2010
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	02/27/1990
	Registered Options Principal Examination (S4)	Series 4	02/02/1982

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/08/2010

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	06/24/2010
	 Uniform Securities Agent State Law Examination (S63)	Series 63	11/01/1984

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	05/02/2016 - 12/31/2018	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Flemington, NJ
IA	01/21/2015 - 12/31/2018	INSIGHT PRIVATE ADVISORS, LLC	CRD# 169017	FLEMINGTON, NJ
B	05/17/2013 - 05/02/2016	LPL FINANCIAL LLC	CRD# 6413	FLEMINGTON, NJ
IA	05/23/2013 - 10/28/2015	LPL FINANCIAL LLC	CRD# 6413	FLEMINGTON, NJ
IA	01/14/2011 - 05/20/2013	WELLS FARGO ADVISORS, LLC	CRD# 19616	LAWRENCEVILLE, NJ
B	01/03/2011 - 05/20/2013	WELLS FARGO ADVISORS, LLC	CRD# 19616	LAWRENCEVILLE, NJ
B	09/09/2010 - 09/30/2010	STOCKCROSS FINANCIAL SERVICES, INC.	CRD# 6670	BEVERLY HILLS, CA
B	06/09/2010 - 09/01/2010	STOCKCROSS FINANCIAL SERVICES, INC.	CRD# 6670	BEVERLY HILLS, CA
B	08/31/1981 - 10/04/2000	TD WATERHOUSE INVESTOR SERVICES, INC.	CRD# 7870	OMAHA, NE
B	10/22/1996 - 06/15/1998	WASHINGTON DISCOUNT BROKERAGE CORP.	CRD# 34217	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
01/2019 - Present	APW Capital	Registered Representative	Y	Rockaway, NJ, United States
01/2019 - Present	Aurora Private Wealth Management	Financial Advisor	Y	Charestown, RI, United States
05/2016 - 12/2018	Purshe Kaplan Sterling Investments	Registered Rep	Y	Albany, NY, United States
01/2015 - 12/2018	INSIGHT PRIVATE ADVISORS, LLC	FINANCIAL ADVISOR	Y	BRIDGEWATER, NJ, United States
05/2013 - 05/2016	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	FLEMINGTON, NJ, 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.

Aurora Private Wealth, Inc., Investment related:Yes, 11 OCEAN RIDGE DR, Charlestown, Rhode Island, 02813, , Wealth Advisor, 01/01/2019, 50 hours per week, Advise and provide advisory services



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:	12/09/1986
Docket/Case Number:	CHI-920
Employing firm when activity occurred which led to the regulatory action:	WATERHOUSE SECURITIES, INC
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	05/20/1989
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	[TOP] COMPLAINT NO. CHI-920 FILED DECEMBER 9, 1986 BY DISTRICT NO. 8 AGAINST RESPONDENTS WATERHOUSE SECURITIES, INC., JOHN H. CHAPEL AND DANIEL M. GATH, ALLEGING VIOLATIONS OF ARTICLE III,



1, 2, 25, 27 AND 33 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT GATH OPENED AND/OR CAUSED TO BE OPENED WITH HIS EMPLOYER FIRM AN ACCOUNT FOR HIS PARENTS WHICH WAS APPROVED FOR OPTIONS TRADING AT "LEVEL II COVERED WRITING" ONLY AND THEREAFTER ESTABLISHED UNCOVERED SHORT POSITIONS IN INDEX CALLS AND PUTS AND FROM TIME TO TIME ESTABLISHED UNCOVERED IN THE ACCOUNT WITHOUT ASSURING THE PROMPT DEPOSIT AND MAINTENANCE OF ADEQUATE MARGIN; EFFECTED UNSUITABLE IN SAID ACCOUNT WHICH WERE EXCESSIVE IN PRICE, SIZE AND RISK; RESPONDENT MEMBER, ACTING THROUGH RESPONDENT CHAPEL, FAILED TO ESTABLISH SUPERVISORY PROCEDURES RELATIVE TO THE SUPERVISION OF DISCRETIONARY ACCOUNTS; PERMITTED RESPONDENT GATH TO HAVE TRADING AUTHORIZATION OVER THE ACCOUNT; FAILED TO HAVE A SENIOR REGISTERED OPTIONS PRINCIPAL REVIEW AND ACCEPT THE ACCOUNT; AND ARBITRARILY AND UNILATERALLY CANCELLED NUMEROUS SETTLED TRANSACTIONS IN SAID ACCOUNT.

DECISION RENDERED OCTOBER 21, 1988, WHEREIN RESPONDENTS ARE CENSURED, RESPONDENT GATH IS FINED \$3,000.00 AND REQUIRED TO REQUALIFY BY EXAMINATION BEFORE ACTING AS A REGISTERED REPRESENTATIVE, RESPONDENT MEMBER IS FINED \$5,000.00, RESPONDENT CHAPEL IS REQUIRED TO REQUALIFY BY EXAMINATION AS A GENERAL SECURITIES SALES SUPERVISORY AND REGISTERED OPTIONS PRINCIPAL WITHIN NINETY (90) DAYS OF THE DATE THIS DECISION BECOMES FINAL AND RESPONDENTS MEMBER AND CHAPEL ARE ASSESSED COSTS OF \$665.35, JOINTLY AND SEVERALLY. IF NO FURTHER ACTION, DECISION IS FINAL DECEMBER 4, 1988.

NOVEMBER 17, 1988 - APPEALED TO THE BOARD OF GOVERNORS. BOARD OF GOVERNORS DECISION RENDERED APRIL 21, 1989, FINDINGS AND SANCTIONS ARE AFFIRMED. MAY 20, 1989 - DECISION IS FINAL. *** \$5,665.35 PAID J&S (BY THE FIRM) ON 5/23/89. ***

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/09/1986
Docket/Case Number:	CHI-920
Employing firm when activity occurred which led to the regulatory action:	WATERHOUSE SECURITIES, INC
Product Type:	
Other Product Type(s):	



Allegations:	LACK OF PROPER WRITTEN SUPERVISORY PROCEDURES.
Current Status:	Final
Resolution:	Decision
Resolution Date:	05/20/1989
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	REQUIRED TO REQUALIFY ON EXCHANGE EXAMINATIONS FINED \$5,000.00 JOINLY JOINTLY AND SEVERALLY WITH WATERHOUSE SECURITIES, INC
Broker Statement	Not Provided



End of Report

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