BrokerCheck Report

MICHAEL GREGORY STEINTHAL

CRD# 435071

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

MICHAEL G. STEINTHAL

CRD# 435071

Currently employed by and registered with the following Firm(s):

B **QUINCY WELLS CAPITAL, LLC**
145 SOUTH WELLS STE 1301
CHICAGO, IL 60606
CRD# 334163
Registered with this firm since: 05/01/2026

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 4 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

B **GREAT POINT CAPITAL LLC**
CRD# 114203
CHICAGO, IL
08/2019 - 05/2026

B **PRIMEX**
CRD# 29394
New York, NY
05/2008 - 08/2019

B **CAPWEST SECURITIES, INC.**
CRD# 30002
DENVER, CO
09/2005 - 05/2008

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	2
Termination	1

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 4 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **QUINCY WELLS CAPITAL, LLC**

Main Office Address: **145 SOUTH WELLS STE 1301**
CHICAGO, IL 60606

Firm CRD#: **334163**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/01/2026

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	05/01/2026
B	Colorado	Agent	Approved	05/01/2026
B	New Jersey	Agent	Approved	05/01/2026
B	New York	Agent	Approved	05/01/2026

Branch Office Locations

QUINCY WELLS CAPITAL, LLC
145 SOUTH WELLS STE 1301
CHICAGO, IL 60606

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	10/20/1984
B	Registered Representative Examination	Series 1	08/13/1976

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	09/13/1994

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

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 and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	08/2019 - 05/2026	GREAT POINT CAPITAL LLC	114203	CHICAGO, IL
B	05/2008 - 08/2019	PRIMEX	29394	New York, NY
B	09/2005 - 05/2008	CAPWEST SECURITIES, INC.	30002	DENVER, CO
B	08/2003 - 10/2005	UNITED SECURITIES ALLIANCE, INC.	36487	GREENWOOD VILLAGE, CO
B	01/1998 - 08/2003	VSR FINANCIAL SERVICES, INC.	14503	OVERLAND PARK, KS
B	08/1996 - 01/1998	MULTI-FINANCIAL SECURITIES CORPORATION	10299	GREENWOOD VILLAGE, CO
B	06/1988 - 08/1996	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, CA
B	03/1987 - 12/1987	IRONWOOD SECURITIES, INC.	13543	
B	03/1986 - 03/1987	INVESTACORP, INC.	7684	
B	01/1986 - 02/1986	KORN, WOMACK, STERN AND ASSOCIATES, INC.	16933	
B	07/1985 - 02/1986	VALUE EQUITIES CORPORATION	13316	
B	02/1984 - 07/1985	INTEGRATED RESOURCES EQUITY CORPORATION	6403	
B	02/1982 - 07/1985	BLC EQUITY SERVICES CORPORATION	1137	
B	03/1980 - 02/1982	GLICOA ASSOCIATES, INC.	6635	
B	08/1976 - 05/1980	CONNECTICUT MUTUAL LIFE INSURANCE COMPANY	173	
B	02/1972 - 06/1973	THE FIRST BUFFALO CORPORATION	300	
B	10/1971 - 03/1972	DYNAVEST SECURITIES, INC.	3864	
B	02/1969 - 10/1971	EQUITY SERVICES, INC.	265	

Employment History

Registration and Employment History

Employment History, continued

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
05/2026 - Present	QUINCY WELLS CAPITAL, LLC	Mass Transfer	Y	CHICAGO, IL, United States
08/2019 - Present	Great Point Capital, LLC	Registered Representative	Y	Chicago, IL, United States
01/1986 - Present	INDEPENDENT INSURANCE AGENT	OTHER - INSURANCE BROKER	N	DENVER, CO, United States
05/2008 - 08/2019	PRIMEX	REGISTERED REP	Y	ELMSFORD, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

No information reported.

Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	1	1	N/A
Termination	N/A	1	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CAPWEST SECURITIES, INC.
Allegations:	EMAIL ALLEGES INVESTMENTS WERE UNSUITABLE BECAUSE THEY TURNED OUT TO BE FRAUDULENT AND/OR NON-PERFORMING. NOT ALL INVESTMENTS STATED IN THE COMPLAINT APPEAR TO HAVE BEEN PURCHASED THROUGH THE EMPLOYING FIRM SHOWN.
Product Type:	Other: PRIVATE PLACEMENTS
Alleged Damages:	$325,000.00
Alleged Damages Amount Explanation (if amount not exact):	TOTAL INVESTED AMOUNT STATED IN THE EMAIL, NOT ALL OF WHICH APPEAR TO HAVE BEEN PURCHASED THROUGH CAPWEST.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/06/2011

Complaint Pending?	No
Status:	Denied
Status Date:	08/16/2011
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CAPWEST SECURITIES INC
Allegations:	EMAIL ALLEGES INVESTMENTS WERE UNSUITABLE AS THEY ARE NON PERFORMING AT THIS TIME
Product Type:	Other: PRIVATE PLACEMENTS
Alleged Damages:	$325,000.00
Alleged Damages Amount Explanation (if amount not exact):	AMOUNT STATED IN EMAIL
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/06/2011
Complaint Pending?	No
Status:	Denied
Status Date:	08/16/2011
Settlement Amount:	
Individual Contribution Amount:	

Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	GREAT POINT CAPITAL LLC
Allegations:	Purchased DST as part of a 1031 tax-deferred exchange. Claimant alleges a lack of suitability and due diligence, breach of fiduciary duty, among other claims. Purchase of investments occurred during or after 2021.
Product Type:	Real Estate Security
Alleged Damages:	$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant alleges compensatory damages between $100,000 and $500,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	25-02396
Filing date of arbitration/CFTC reparation or civil litigation:	10/31/2025

Customer Complaint Information

Date Complaint Received:	03/26/2026
Complaint Pending?	Yes
Settlement Amount:	

Individual Contribution Amount:

Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	UNITED SECURITIES ALLIANCE, INC
Termination Type:	Voluntary Resignation
Termination Date:	09/15/2005
Allegations:	MAINTAINING UNAPPROVED WEBSITE IN VIOLATION OF NASD RULES AND FIRM POLICIES AND PROCEDURES.
Product Type:	No Product
Other Product Types:	
Firm Statement	$10,000 FINE IMPOSED IN CONNECTION WITH INTERNAL REVIEW OF UNAPPROVED WEBSITE.

Reporting Source:	Broker
Employer Name:	UNITED SECURITIES ALLIANCE, INC.
Termination Type:	Voluntary Resignation
Termination Date:	09/15/2005
Allegations:	MAINTAINING UNAPPROVED WEBSITE IN VIOLATION OF NASD AND FIRM POLICIES AND PROCEDURES.
Product Type:	No Product
Other Product Types:	
Broker Statement	$10,000 FINE IMPOSED IN CONNECTION WITH INTERNAL REVIEW OF UNAPPROVED WEBSITE UNITED SECURITIES ALLIANCE, INC. WEB SITE VIOLATIO, THIS ALLEGATION IS FALSE - THIS WEB SITE WAS: SUBMITTED FOR APPROVAL TO THE COMPLIANCE DEPT, IN PARTICULAR JON PEARN, IN SPRING OF 2004, SUBSEQUENTLY IT WAS APPROVED., PENDING A CHANGE THAT I PROMPTLY DISPLAY MY NAME AND SECURITIES AFFILIATION, WHICH I DID. IN THE FALL OF 2004, AT A MEETING, JOE PADILLA PRESIDENT OF UNITED SECURITIES ALLIANCE, INC. - REMARKED IN REFERENCE TO THE WEB

SITES: "LET ME GIVE YOU AN ANALOGY IF YOU ARE SECURITIES LICENSED AND YOU ALSO SELL FORD CARS AND SOMEONE WALKS IN TO THE DEALERSHIP AND REMARKS HE IS MORE INTERESTED IN FORD STOCK THAN A CAR, YOU CAN CALL HIM THE NEXT DAY AND TAKE THE ORDER". THIS WAS IN REFERENCE TO SHOWING REAL-ESTATE ON THE WEB SITE- FAST FORWARD-DUE TO NASD NOTICE TOMEMBERS 05-18, I SHUT DOWN MY WEB SITE JUNE 6TH 2005, I WAS INFORMED BY JOE CANNELLA, COMPLIANCE OFFICER OF "USA" THAT I WOULD NEED A PASSWORD ON JULY 14TH OF 2005 - I REOPENED SITE FOR ONE DAY TO MAKE WEB SITE CHANGES WITH MY WEB SITE MASTER - IT HAPPENS THAT ON THAT DAY, THE NASD WAS MONITORING USA WEB SITES AND MINE WAS NOTED, I INFORMED THEM (USA) THAT THIS WAS A FLUKE, THAT MY SITE HAS BEEN DOWN (GAVE THEM THE LOGS) AND IT WAS OPEN FOR ONE DAY TO MAKE PASSWORD AND OTHER COMPLIANCE CHANGES. MY SITE HAS BEEN DOWN SINCE. "USA" HAD KNOWN ABOUT THE WEB SITE AND WAS ENGAGED IN A PROCESS OF HELPING ME TO MAKE THE NECESSARY CHANGES.

End of Report

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