BrokerCheck Report

ROBERT Lee BOGGESS

CRD# 5007422

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.

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.

ROBERT L. BOGGESS

CRD# 5007422

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
- 8 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

B **GREAT POINT CAPITAL LLC**
CRD# 114203
Seattle, WA
05/2020 - 05/2026

B **EMERSON EQUITY LLC**
CRD# 130032
SAN MATEO, CA
03/2020 - 05/2020

B **GREAT POINT CAPITAL LLC**
CRD# 114203
CHICAGO, IL
02/2018 - 03/2020

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	1

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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 8 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	Corporate Securities Represent	Approved	05/01/2026
B	FINRA	Direct Participation Programs	Approved	05/01/2026
B	FINRA	General Securities Representative	Approved	05/01/2026

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	05/01/2026
B	Florida	Agent	Approved	05/05/2026
B	Iowa	Agent	Approved	05/01/2026
B	Kansas	Agent	Approved	05/01/2026
B	Ohio	Agent	Approved	05/01/2026
B	Texas	Agent	Approved	05/01/2026
B	Virginia	Agent	Approved	05/01/2026
B	Washington	Agent	Approved	05/04/2026

Branch Office Locations

QUINCY WELLS CAPITAL, LLC

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Broker Qualifications

Employment 1 of 1, continued

145 SOUTH WELLS STE 1301
CHICAGO, IL 60606

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

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	11/04/2009
B	Corporate Securities Limited Representative Examination	Series 62	07/02/2009
B	Direct Participation Programs Representative Examination	Series 22	08/08/2005

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	05/13/2011
B	Uniform Securities Agent State Law Examination	Series 63	08/04/2005

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/.

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Broker Qualifications

Professional Designations

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

No information reported.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	05/2020 - 05/2026	GREAT POINT CAPITAL LLC	114203	Seattle, WA
B	03/2020 - 05/2020	EMERSON EQUITY LLC	130032	SAN MATEO, CA
B	02/2018 - 03/2020	GREAT POINT CAPITAL LLC	114203	CHICAGO, IL
IA	05/2018 - 12/2018	FRANKLIN ALPHA LLC	292962	SEATTLE, WA
IA	03/2014 - 02/2018	SANDLAPPER WEALTH MANAGEMENT, LLC	41534	SEATLE, WA
B	02/2013 - 02/2018	SANDLAPPER SECURITIES, LLC	137906	SEATTLE, WA
IA	05/2013 - 03/2014	SANDLAPPER WEALTH MANAGEMENT, LLC	164443	SEATTLE, WA
IA	01/2013 - 02/2013	CONCORDE ASSET MANAGEMENT, LLC	140367	SEATTLE, WA
B	01/2013 - 02/2013	CONCORDE INVESTMENT SERVICES, LLC	151604	SEATTLE, WA
IA	10/2011 - 12/2012	ALLIED BEACON WEALTH MANAGEMENT, LLC	134922	SCHAUMBURG, IL
B	05/2011 - 12/2012	ALLIED BEACON PARTNERS, INC.	46227	RICHMOND, VA
B	09/2009 - 04/2011	OMNI BROKERAGE, INC.	16878	SEATTLE, WA
B	08/2005 - 09/2009	WELTON STREET INVESTMENTS LLC	132111	DENVER, CO

Employment History

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
05/2020 - Present	Great Point Capital, LLC	Registered Representative	Y	Chicago, IL, United States

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Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
02/2018 - Present	Abacus Insurance Advisors LLC	Licensed Insurance Producer	Y	Greenville, SC, United States
06/1989 - Present	RE/MAX METRO REALTY, INC.	MANAGING BROKER	N	SEATTLE, WA, United States
03/2020 - 05/2020	Emerson Equity	Registered Representative	Y	San Mateo, CA, United States
02/2008 - 03/2020	Great Point Capital, LLC	Registered Representative	Y	Chicago, IL, United States
01/2018 - 04/2019	Franklin Alpha LLC	Investment Adviser Representative	Y	SEATTLE, WA, United States
06/2015 - 02/2018	Sandlapper Insurance LLC	Licensed Insurance Producer	Y	Greenville, SC, United States
01/2015 - 02/2018	Sandlapper Wealth Management LLC	Registered Investment Advisor Representative	Y	Seattle, WA, United States
02/2013 - 02/2018	Sandlapper Securities LLC	Registered Representative	Y	Greenville, SC, United States
02/2013 - 02/2018	Sandlapper Wealth Managment, LLC	Registered Investment Advisor Representative	Y	Seattle, WA, 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.

(1) RE/MAX METRO REALTY INC.; INVESTMENT RELATED; 2312 EASTLAKE AVE E, SEATTLE, WA 98102; REAL ESTATE BROKERAGE; 50 TO 150 HRS/MONTH AND DURING TRADING; START DATE: 6/1989; POSITION: MANAGING BROKER; SALES AND LEASING OF REAL ESTATE; COMPENSATION: COMMISSIONS.
2) TACOMA SELF STORAGE LLC, STEELE STREET LLC, BLB PROPERTIES LLC;
INVESTMENT RELATED; TYEE MARINA 5618 MARINE VIEW DR, TACOMA, WA 98422; REAL ESTATE INVESTMENT COMPANIES; START DATE: 1997; POSITION: MEMBER; 10 HRS/MONTH ; STRATEGIC PLANNING AND MANAGER OF DEVELOPMENT; COMPENSATION: COMMISSIONS.AND OWNER DISTRIBUTIONS
3) IREXA, LLC FKA INVESTMENT REAL ESTATE EXCHANGE ADVISORS, LLC. FINANCIAL SERVICES/WEALTH STRATEGIES. DBA FOR SECURITIES BUSINESS. 4233 MERIDIAN AVE. N. SEATTLE, WA. POSITION - CEO. START DATE - 09/2009. 50 TO 150 HRS. PER MONTH. COMPENSATION - COMMISSIONS PAID TO ROBERT L BOGGESS.
4) SWD WELL MANAGEMENT, MANAGER, 2312 EASTLAKE AVE E. SEATTLE WA 98102, 1 HOURS PER MO OUTSIDE MARKET HOURS, MANAGEMENT FEE COMPENSATION.
5) CONTRAPOINT HOLDINGS, LLC, MANAGER, 2312 EASTLAKE AVE E SEATTLE, WA 98102, INVESTMENT HOLDING COMPANY, 1 HOUR PER WEEK DURING MARKET HOURS, COMPENSATION FROM DISTRIBUTIONS.

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Registration and Employment History

Other Business Activities, continued

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.
    -
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	0	N/A

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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 - 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-deformed exchange. Claimant's lack of suitability and due dilligence, break of contract and fiduciary duty.
Product Type:	Real Estate Security
Alleged Damages:	$50,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant alleges a range between $50,000-$100,000
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 #:	25-01912

Filing date of arbitration/CFTC reparation or civil litigation:	09/21/2025

Customer Complaint Information

Date Complaint Received:	02/04/2026
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

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End of Report

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