

BrokerCheck Report

ROBERT MARK PECHA

CRD# 5579770

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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:
 - o 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
 - o 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 M. PECHA**

CRD# 5579770

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
- 7 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 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
 04/2020 - 05/2026
- B** **PRIMEX**
 CRD# 29394
 NEW YORK, NY
 05/2019 - 04/2020
- IA** **CONCORDE ASSET MANAGEMENT, LLC**
 CRD# 140367
 ANN ARBOR, MI
 05/2018 - 04/2019

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	3



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 7 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	Florida	Agent	Approved	05/05/2026
B	Illinois	Agent	Approved	05/01/2026
B	New Jersey	Agent	Approved	05/01/2026
B	New York	Agent	Approved	05/01/2026
B	South Carolina	Agent	Approved	05/01/2026
B	Texas	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, 2 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	09/15/2008

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/10/2008

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 04/2020 - 05/2026	GREAT POINT CAPITAL LLC	114203	CHICAGO, IL
B 05/2019 - 04/2020	PRIMEX	29394	NEW YORK, NY
IA 05/2018 - 04/2019	CONCORDE ASSET MANAGEMENT, LLC	140367	Port Jefferson, NY
B 01/2017 - 04/2019	CONCORDE INVESTMENT SERVICES, LLC	151604	Port Jefferson, NY
IA 10/2013 - 10/2016	THE FARAGI GROUP	159936	NEW YORK, NY
B 02/2015 - 02/2016	DFPG INVESTMENTS, INC.	155576	Staten Island, NY
B 11/2011 - 09/2013	MML INVESTORS SERVICES, LLC	10409	BROOKLYN, NY
IA 03/2011 - 10/2011	AMERIVEST INVESTMENT MANAGEMENT, LLC	111514	FOREST HILLS, NY
B 03/2011 - 10/2011	TD AMERITRADE, INC.	7870	FOREST HILLS, NY
IA 03/2011 - 10/2011	TD AMERITRADE, INC.	7870	FOREST HILLS, NY
IA 11/2009 - 04/2011	PARK AVENUE SECURITIES LLC	46173	NEW YORK, NY
B 11/2009 - 04/2011	PARK AVENUE SECURITIES LLC	46173	NEW YORK, NY
IA 05/2009 - 11/2009	AXA ADVISORS, LLC	6627	NEW YORK, NY
B 09/2008 - 11/2009	AXA ADVISORS, LLC	6627	NEW YORK, NY

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



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2020 - Present	Great Point Capital, LLC	Registered Representative	Y	Chicago, IL, United States
05/2019 - 04/2020	PRIMEX	Registered Representative	Y	New York, NY, United States
05/2018 - 04/2019	Concorde Asset Management, LLC	Investment Advisor Representative	Y	Livonia, MI, United States
01/2017 - 04/2019	Concorde Investment Services, LLC	Registered Representative	Y	Livonia, MI, United States
01/2015 - 11/2016	DFPG INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	SOUTH JORDAN, UT, 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.

Robert is a member of the volunteer fire department in Mountain Lakes, NJ. There is no income from this activity. The position begins July 1, 2026. Approximately 20 hours per month will be spent on this activity and none during trading hours. The address is 400 Boulevard #2, Mountain Lakes, NJ 07046

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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	2	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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 - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Concorde Investment Services, LLC
Allegations:	Claim is alleging breach of fiduciary duty, misrepresentation, and suitability relating to investments made in July 2017 to February 2018.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$514,000.00
Alleged Damages Amount Explanation (if amount not exact):	\$514,000.00 plus fees and interest
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 #:	20-00395
Filing date of arbitration/CFTC reparation or civil litigation:	02/03/2020



Customer Complaint Information

Date Complaint Received: 03/05/2020

Complaint Pending? No

Status: Settled

Status Date: 06/16/2021

Settlement Amount: \$262,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Concorde Investment Services, LLC

Allegations: Claim is alleging breach of fiduciary duty, misrepresentation, and suitability relating to investments made in July 2017 to February 2018.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$514,000.00

Alleged Damages Amount Explanation (if amount not exact): \$514,000.00 plus fees and interest

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 Arbitration

Docket/Case #: 20-00395

Filing date of arbitration/CFTC reparation or civil litigation: 02/03/2020

Customer Complaint Information

Date Complaint Received: 03/05/2020



Complaint Pending?	No
Status:	Settled
Status Date:	06/16/2021
Settlement Amount:	\$262,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	I am not named anywhere in this complaint and it is directly aimed at another rep involved in the transaction. I do not see myself being involved in any subsequent arbitration.



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	GREAT POINT CAPITAL LLC
Allegations:	Claimants allege unsuitable and negligent alternative investment recommendations by Respondent Great Point Capital, acting through its registered representative Robert Pecha. The alternative investments were purchased in 2023 on January 31, March 31, May 9, June 9 and August 15. The allegations include violation of Federal Securities Laws, violation of the New Jersey Uniform Securities Law, violation of the New York Consumers Protection Act, breach of contract, common law fraud, breach of fiduciary duty, negligence and gross negligence.
Product Type:	Real Estate Security
Alleged Damages:	\$1,295,643.00
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 #:	26-00240
Filing date of arbitration/CFTC reparation or civil litigation:	02/02/2026

Customer Complaint Information

Date Complaint Received:	05/07/2026
Complaint Pending?	Yes
Settlement Amount:	



Individual Contribution Amount:

Reporting Source:

Broker

**Employing firm when
activities occurred which led
to the complaint:**

GREAT POINT CAPITAL LLC

Allegations:

Claimants allege unsuitable and negligent alternative investment recommendations by Respondent Great Point Capital, acting through its registered representative Robert Pecha. The alternative investments were purchased in 2023 on January 31, March 31, May 9, June 9 and August 15. The allegations include violation of Federal Securities Laws, violation of the New Jersey Uniform Securities Law, violation of the New York Consumers Protection Act, breach of contract, common law fraud, breach of fiduciary duty, negligence and gross negligence.

Product Type:

Real Estate Security

Alleged Damages:

\$1,295,643.00

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 #:

26-00240

**Filing date of
arbitration/CFTC reparation
or civil litigation:**

02/02/2026

Customer Complaint Information

Date Complaint Received:

05/07/2026

Complaint Pending?

Yes

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 2 of 2



Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	GREAT POINT CAPITAL LLC
Allegations:	Violation of common law fraud, breach of fiduciary duty, negligent failure to supervise, and negligence
Product Type:	Real Estate Security
Alleged Damages:	\$1,117,186.96
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 #:	25-01709
Filing date of arbitration/CFTC reparation or civil litigation:	08/18/2025

Customer Complaint Information

Date Complaint Received:	08/18/2025
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

End of Report



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