BrokerCheck Report

Mikayla Elizabeth Raleigh

CRD# 7181755

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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.

Mikayla E. Raleigh

CRD# 7181755

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

IA **RALEIGH CAPITAL MANAGEMENT INC.**
117 EDINBURGH SOUTH DRIVE
SUITE 110
CARY, NC 27511
CRD# 149538
Registered with this firm since: 10/02/2019

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
- 18 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 2 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
Cary, NC
07/2021 - 05/2026

B **AAG CAPITAL, INC**
CRD# 188
CARY, NC
02/2021 - 10/2021

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

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 18 U.S. states and territories through his or her employer.

Employment 1 of 2

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 Principal	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	05/04/2026
B	Georgia	Agent	Approved	05/01/2026
B	Idaho	Agent	Approved	05/01/2026
B	Maryland	Agent	Approved	05/01/2026
B	Michigan	Agent	Approved	05/01/2026
B	Missouri	Agent	Approved	05/01/2026
B	Nebraska	Agent	Approved	05/01/2026
B	New York	Agent	Approved	05/01/2026
B	North Carolina	Agent	Approved	05/01/2026
B	Oklahoma	Agent	Approved	05/01/2026

Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	05/01/2026
B	South Carolina	Agent	Approved	05/01/2026
B	Tennessee	Agent	Approved	05/01/2026
B	Vermont	Agent	Approved	05/01/2026
B	Virginia	Agent	Approved	05/01/2026
B	Washington	Agent	Approved	05/01/2026
B	Wisconsin	Agent	Approved	05/01/2026

Branch Office Locations

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

Employment 2 of 2

Firm Name: **RALEIGH CAPITAL MANAGEMENT INC.**

Main Office Address: **117 EDINBURGH SOUTH DRIVE**
SUITE 110
CARY, NC 27511

Firm CRD#: **149538**

	U.S. State/ Territory	Category	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	10/02/2019

Branch Office Locations

Broker Qualifications

Employment 2 of 2, continued

117 EDINBURGH SOUTH DRIVE
SUITE 110
CARY, NC 27511

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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	06/05/2025

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7TO	02/11/2021
B	Securities Industry Essentials Examination	SIE	12/28/2020

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	03/01/2021
IA	Uniform Investment Adviser Law Examination	Series 65	10/02/2019

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 **1** professional designation(s).

Certified Financial Planner

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	07/2021 - 05/2026	GREAT POINT CAPITAL LLC	114203	Cary, NC
B	02/2021 - 10/2021	AAG CAPITAL, INC	188	CARY, NC

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	Registered Representative	Y	CHICAGO, IL, United States
09/2019 - Present	RALEIGH CAPITAL MANAGEMENT INC.	Investment Advisor Representative	Y	Cary, NC, United States
05/2019 - Present	Raleigh Wealth Solutions	Insurance Agent	Y	Cary, NC, United States
07/2021 - 05/2026	Great Point Capital, LLC	Registered Representative	Y	Chicago, IL, United States
02/2021 - 07/2021	AAG Capital Inc	Registered Representative	Y	WESLEY CHAPEL, FL, United States
08/2017 - 05/2019	Oklahoma State University	Student, Personal Trainer	N	Stillwater, OK, United States
05/2015 - 03/2019	National Cheerleaders Assoc.	Lead Instructor	N	All travel, no specific location, NC, United States
08/2017 - 01/2019	Perry High School	Cheer Coach	N	Perry, OK, United States
08/2013 - 05/2017	NC State University	Student	N	Raleigh, NC, 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.

Registration and Employment History

Other Business Activities, continued

1. Employee of Raleigh Wealth Solutions, investment related business, Address: 117 Edinburgh South Drive, Suite 110, Cary, NC 27511, Nature of business: insurance services, Position-Insurance Agent, Start Date May 2019, approx. 40 hours/week, 160 hours/month. I devote all of my time to this business during trading hours. This is my full time job. Duties including servicing client accounts, meeting with clients and prospects, coordinating marketing events, and streamlining operations.

____ 2) Quincy Wells Capital, LLC - a FINRA registered broker / dealer. Investment-related - Yes. Address of the other business - 145 South Wells Street, Suite 1301, Chicago, IL 60606. Nature of the other business - Registered Representative offering alternative investments . Position, title, or relationship with the other business - Registered Representative. Start date of relationship, 5/1/2026. Approximate number of hours/month devoted to the other business - 40 hours a month. Approximate number of hours devoted to the other business during securities trading hours - 40 hours per month. Duties relating to the other business - Research and implement alternative investment strategies as part of a comprehensive wealth management approach to financial planning.

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

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:	Firm
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:	$500,000.00
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 #:	26-00926
Filing date of arbitration/CFTC reparation or civil litigation:	04/22/2026

Customer Complaint Information

Date Complaint Received:	09/08/2026
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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