

BrokerCheck Report

MARK HOWARD PEIKIN

CRD# 7651094

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 11



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.](http://www.finra.org)



MARK H. PEIKIN

CRD# 7651094

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

- B** **THINKEQUITY LLC**
17 STATE STREET, 41ST FLOOR
NEW YORK, NY 10004
CRD# 20996
Registered with this firm since: 07/22/2024

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:

- 6 Self-Regulatory Organizations
- 52 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** **JOSEPH GUNNAR & CO. LLC**
CRD# 24795
UNIONDALE, NY
03/2023 - 07/2024

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? **No**



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 6 SROs and is licensed in 52 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **THINKEQUITY LLC**

Main Office Address: **17 STATE STREET, 41ST FLOOR
NEW YORK, NY 10004**

Firm CRD#: **20996**

	SRO	Category	Status	Date
B	24X National Exchange LLC	General Securities Representative	Approved	12/11/2025
B	FINRA	General Securities Representative	Approved	07/22/2024
B	FINRA	Investment Banking Representative	Approved	07/22/2024
B	NYSE American LLC	General Securities Representative	Approved	07/22/2024
B	NYSE Arca, Inc.	General Securities Representative	Approved	07/22/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	07/22/2024
B	New York Stock Exchange	General Securities Representative	Approved	07/22/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/22/2024
B	Alaska	Agent	Approved	07/22/2024
B	Arizona	Agent	Approved	07/22/2024
B	Arkansas	Agent	Approved	07/22/2024
B	California	Agent	Approved	07/22/2024
B	Colorado	Agent	Approved	07/22/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	07/22/2024
B	Delaware	Agent	Approved	07/22/2024
B	District of Columbia	Agent	Approved	07/22/2024
B	Florida	Agent	Approved	07/22/2024
B	Georgia	Agent	Approved	07/22/2024
B	Hawaii	Agent	Approved	07/22/2024
B	Idaho	Agent	Approved	07/22/2024
B	Illinois	Agent	Approved	07/22/2024
B	Indiana	Agent	Approved	07/22/2024
B	Iowa	Agent	Approved	07/22/2024
B	Kansas	Agent	Approved	07/22/2024
B	Kentucky	Agent	Approved	07/22/2024
B	Louisiana	Agent	Approved	07/22/2024
B	Maine	Agent	Approved	07/22/2024
B	Maryland	Agent	Approved	07/22/2024
B	Massachusetts	Agent	Approved	07/22/2024
B	Michigan	Agent	Approved	07/22/2024
B	Minnesota	Agent	Approved	07/22/2024
B	Mississippi	Agent	Approved	07/22/2024
B	Missouri	Agent	Approved	07/22/2024
B	Montana	Agent	Approved	07/22/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nebraska	Agent	Approved	07/22/2024
B	Nevada	Agent	Approved	07/22/2024
B	New Hampshire	Agent	Approved	07/22/2024
B	New Jersey	Agent	Approved	07/22/2024
B	New Mexico	Agent	Approved	07/22/2024
B	New York	Agent	Approved	07/22/2024
B	North Carolina	Agent	Approved	07/23/2024
B	North Dakota	Agent	Approved	07/22/2024
B	Ohio	Agent	Approved	07/23/2024
B	Oklahoma	Agent	Approved	07/22/2024
B	Oregon	Agent	Approved	07/22/2024
B	Pennsylvania	Agent	Approved	07/22/2024
B	Puerto Rico	Agent	Approved	07/22/2024
B	Rhode Island	Agent	Approved	07/22/2024
B	South Carolina	Agent	Approved	07/22/2024
B	South Dakota	Agent	Approved	07/22/2024
B	Texas	Agent	Approved	07/22/2024
B	Utah	Agent	Approved	07/22/2024
B	Vermont	Agent	Approved	07/22/2024
B	Virgin Islands	Agent	Approved	07/22/2024
B	Virginia	Agent	Approved	07/22/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Washington	Agent	Approved	07/22/2024
B	West Virginia	Agent	Approved	07/22/2024
B	Wisconsin	Agent	Approved	07/22/2024
B	Wyoming	Agent	Approved	07/22/2024

Branch Office Locations

THINKEQUITY LLC
17 STATE STREET, 41ST FLOOR
NEW YORK, NY 10004



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 Investment Banking Registered Representative Examination	Series 79TO	03/29/2023
B General Securities Representative Examination	Series 7TO	03/26/2023
B Securities Industry Essentials Examination	SIE	10/30/2022

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	06/07/2023

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.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 03/2023 - 07/2024	JOSEPH GUNNAR & CO. LLC	24795	UNIONDALE, 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
07/2024 - Present	ThinkEquity LLC	Managing Director, Investment Banking	Y	New York, NY, United States
06/2009 - Present	BESPOKE GROWTH PARTNERS, INC.	CEO/ FOUNDER	N	BOCA RATON, FL, United States
10/2022 - 06/2024	JOSEPH GUNNAR & CO., LLC	ADVISORY SERVICES	Y	UNIONDALE, NY, United States
06/2021 - 09/2022	MITCHELL SILBERBERG & KNUPP LLP	SPECIAL COUNSEL	N	LOS ANGELES, CA, United States
09/2019 - 09/2022	ADIAL PHARMACEUTICALS, INC.	CHIEF STRATEGY OFFICER	N	CHARLOTTESVILLE, VA, 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. Name of Business: Aware Therapeutics Corporation
 Investment Related: No
 Address: 201 N.E. 6TH ST., Boca Raton, FL 33432
 Nature of Business: Neuroscience Research and Development
 Position/Title: Founder
 Start Date: 08.05.2022
 Hours/Month Devoted: 2
 Hours Devoted During Business Hours: 1



Registration and Employment History

Other Business Activities, continued

Describe Duties: Oversee Corporate Administration

2. Name of Business: Bespoke Growth Partners, Inc.

Investment Related: Yes

Address: 201 N.E. 6TH ST., Boca Raton, FL 33432

Nature of Business: Management Consulting; Investor

Position/Title: CEO

Start Date: 03.20.2009

Hours/Month Devoted: 5

Hours Devoted During Business Hours: 5

Describe Duties: Oversee Corporate Administration

3. Name of Business: Bespoke Properties, LLC

Investment Related: No

Address: 201 N.E. 6TH ST., Boca Raton, FL 33432

Nature of Business: Real Estate Sales

Position/Title: Director

Start Date: 09.20.2012

Hours/Month Devoted: Less than 1

Hours Devoted During Business Hours: None

Describe Duties: Oversee Corporate Administration

Nature of Business: Real Estate Sales,

4. Name of Business: Bespoke Wondermind SPV 1, LLC

Investment Related: Yes

Address: 201 N.E. 6TH ST., Boca Raton, FL 33432

Nature of Business: Passive Investor in Wondermind Global Inc., DBA Wondermind; Mental Fitness Electronic Newsletter

Position/Title: Co-Managing Member

Start Date: 06.13.2022

Hours/Month Devoted: Less than 1

Hours Devoted During Business Hours: Less than 1

Describe Duties: Co-Oversee Corporate Administration

5. Name of Business: First Choice International Company, Inc.

Investment Related: Yes

Address: 201 N.E. 6TH ST., Boca Raton, FL 33432

Nature of Business: Corporate Advisory; Investor

Position/Title: Founder

Start Date: 12.10.2009

Hours/Month Devoted: 4

Hours Devoted During Business Hours: 4

Describe Duties: Oversee Corporate Administration

6. Name of Business: Omniverse LLC



Registration and Employment History

Other Business Activities, continued

Investment Related: Yes
Address: 201 N.E. 6TH ST., Boca Raton, FL 33432
Nature of Business: Corporate Advisory; Passive Investor in Ostendo Technologies, Inc.
Position/Title: Co-Managing Member
Start Date: 11.19.2021
Hours/Month Devoted: 1
Hours Devoted During Business Hours: 1
Describe Duties: Co-Oversee Corporate Administration

7. Name of Business: One Percent Investments, Inc.
Investment Related: Yes
Address: 201 N.E. 6TH ST., Boca Raton, FL 33432
Nature of Business: Investor in Emerging Technologies
Position/Title: President
Start Date: 11.09.2018
Hours/Month Devoted: Less than 1
Hours Devoted During Business Hours: Less than 1
Describe Duties: Oversee Corporate Administration

8. Name of Business: Peikin Holdings, L.L.C.
Investment Related: No
Address: 201 N.E. 6TH ST., Boca Raton, FL 33432
Nature of Business: Holding Company of Peikin Investments, L.L.C.
Position/Title: Manager
Start Date: 09.08.2009
Hours/Month Devoted: Less than 1
Hours Devoted During Business Hours: Less than 1
Describe Duties: Oversee Corporate Administration

9. Name of Business: Peikin Investments, L.L.C.
Investment Related: No
Address: 201 N.E. 6TH ST., Boca Raton, FL 33432
Nature of Business: Real Estate Investments
Position/Title: Manager
Start Date: 09.08.2009
Hours/Month Devoted: Less than 1
Hours Devoted During Business Hours: Less than 1
Describe Duties: Oversee Corporate Administration

10. Name of Business: The Benjamin Harry Peikin Foundation, Inc.
Investment Related: No
Address: 201 N.E. 6TH ST., Boca Raton, FL 33432
Nature of Business: Charitable Donations

Registration and Employment History



Other Business Activities, continued

Position/Title: Founder

Start Date: 12.29.2017

Hours/Month Devoted: 3

Hours Devoted During Business Hours: Less than 1

Describe Duties: Oversee Corporate Administration

End of Report



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