

## Peerless Wealth, LLC's ADV Part 2B

March 2022



### Mr. Erik O. Thompson

Investment Adviser Representative | CRD# 3097998

Peerless Wealth, LLC | CRD# 305807

632 North High St.

Columbus, OH 43215

Phone: (614) 824-2824

Email: [ETHompson@Peerless-Wealth.com](mailto:ETHompson@Peerless-Wealth.com)

Website: <https://Peerless-Wealth.com>

*This brochure supplement provides information about Mr. Erik O. Thompson that supplements the Peerless Wealth, LLC brochure ADV Part 2A for CRD # 305807. If you did not receive the Peerless Wealth, LLC brochure or if you have any questions about its contents and/or this supplement contents contact Mr. Erik O. Thompson at (614) 824-2824 or by email at: [ETHompson@Peerless-Wealth.com](mailto:ETHompson@Peerless-Wealth.com). The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.*

*Additional information about Peerless Wealth, LLC and/or Mr. Erik O. Thompson is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)*

*Registration does not imply a certain level of skill or training.*

## **Item 2: Name, Educational and Business Experience**

### **Name:**

Mr. Erik O. Thompson

Born: 1975

### **Education, Certifications & Industry Exams Passed:**

Miami University | Bachelors, Business & Finance | Oxford, OH | 1997

SIE | Securities Industry Essentials Exam | 10/2018

Series 31 | Futures Managed Funds Exam | 10/2009

Series 10 | General Securities Sales Supervisor - Options Exam | 01/2005

Series 9 | General Securities Sales Supervisor - General Exam | 01/2005

Series 65 | Uniform Investment Adviser Law Exam | 01/2005

Series 63 | Uniform Securities State Law Exam | 09/1998

Series 7 | General Securities Representative Exam | 09/1998

### **Financial Services Background:**

Peerless Wealth, LLC | President and CCO | 09/2019 – Present

Pareto Systems | Certified Business Consultant | 09/2019 – Present

Wells Fargo Advisors Financial Network, LLC | Registered Representative | 12/2004 – 04/2019

Edward Jones | Registered Representative | 09/1998 – 10/2004

## **Item 3: Disciplinary Information**

As an Investment Advisor Representative you are required to disclose all material fact regarding any legal or disciplinary events that would be material in your evaluation.

Mr. Erik O. Thompson has never been the subject of a criminal or civil action.

Mr. Erik O. Thompson has never been the subject of an administrative or self-regulatory organization proceeding; or any other hearing or formal adjudication regarding a professional attainment, designation or license.

For more information about Mr. Erik O. Thompson, please visit FINRA's Broker Check at [www.finra.org/brokercheckand/or](http://www.finra.org/brokercheckand/or) the SEC's Investment Advisor Search at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 4: Other Business Activities**

Mr. Erik O. Thompson is not actively engaged in any other investment advisory related business or occupation at this time (other than Peerless Wealth).

Mr. Erik O. Thompson has an active insurance license that was obtained while he was a Registered Representative prior to the founding of Peerless Wealth. He is not in the business of selling insurance at this time and has no plans to offer/sell insurance products to clients for the foreseeable future.

Mr. Erik O. Thompson has an Equity/Debt interest in Peerless Management. This equity/debt interest represents a 10%/10% ownership in restaurants/bars.

Mr. Erik O. Thompson is the owner of various rental properties.

Mr. Erik O. Thompson is the owner of Premium Capture, LP, a hedge fund that is not affiliated with Peerless Wealth, LLC.

## **Item 5: Additional Compensation**

Mr. Erik O. Thompson is not actively engaged in any other investment advisory related business or occupation at this time (other than Peerless Wealth).

Mr. Erik O. Thompson receives compensation from his various real estate holdings in the form of rent.

Mr. Erik O. Thompson is the owner of Premium Capture, LP, a hedge fund that is not affiliated with Peerless Wealth, LLC. Mr. Thompson receives compensation from the revenue that the LP produces.

## **Item 6: Supervision**

As the President & CCO of Peerless Wealth, LLC, Mr. Erik O. Thompson is Peerless Wealth's Chief Compliance Officer (CCO). His contact information is on the cover page of this disclosure document. Mr. Erik O. Thompson adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's policies and procedures manual, the firm's compliance manual, including the code of ethics, and appropriate securities regulatory requirements.

## **Item 7: Requirements for State-Registered Advisers**

Mr. Erik O. Thompson has never been involved in any disciplinary events reportable under this item.

Mr. Erik O. Thompson has never been found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

Mr. Erik O. Thompson has never been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

Mr. Erik O. Thompson has never been involved or the subject of a bankruptcy petition.