

**John Paul Baack**  
184 Derby Street  
Newton, MA 02465  
(617) 319-1893

Item 1. Cover Sheet

**Vision Investment Advisors, LLC**  
4 High Ridge Park, Suite 100  
Stamford, Connecticut 06905  
(203) 388-2700  
3.12.2015

**This Brochure Supplement provides information about John Paul Baack that supplements the Brochure of Vision Investment Advisors, LLC (“Vision Advisors”). You should have received a copy of that Brochure. Please contact Vision Advisors at 1-877-836-3949 if you did not receive Vision Advisor’s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about John Paul Baack is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

**Item 2. Education and Business Background**

Mr. John Paul Baack holds a Bachelor of Science from Babson College in Wellesley, MA (1989), and a MBA from Bentley College in Waltham, MA (1996). Over the past two years Mr. Baack has held the

position as a Registered Representative with Vision Brokerage Service. Mr. Baack is a Series 65 registered Investment Advisor Representative with Vision Investment Advisors. Prior to that, Mr. Baack worked as a bank employee and Investment Associate for Sovereign Bank and LPL Financial (which purchased the Independent Financial Marketing Group) for over six years. Along with this registration, he is also involved with Vision Brokerage Services ("VBS") where his Series 7 is held. He currently holds FINRA series 6, 7 63 and 65 licenses.

### **Item 3. Disciplinary Information**

Mr. Baack does not have any disciplinary information to report.

### **Item 4. Other Business Activities**

Mr. Baack is an Investment Advisor Representative with Vision Investment Advisors and a Registered Representative with Vision Brokerage Services. Vision Investment Advisors and Vision Brokerage Services are affiliated entities of Vision Advisors, and are under the common control and ownership of Howard Rothman. Affiliates share and provide services to Vision Advisors and its Clients, including certain employees and other associated persons.

Mr. Baack does not receive any commissions from clients of Vision Investment Advisors. As per the Form ADV, he receives a percentage of the fully-disclosed fees charged to the client under written agreement. Essential to managing conflicts between its Affiliates, Vision Advisor makes this disclosure to clients, in addition to taking into consideration the different needs of both retail and institutional clients as is necessary and which occasionally may be reviewed.

Mr. Baack is licensed to provide life insurance in the state of Massachusetts and does receive commissions on this business. He also receives commission from the business he does with Vision Brokerage Services as a Registered Representative.

### **Item 5. Additional Compensation**

Mr. Baack does not receive any additional compensation or economic benefits from providing advisory services.

### **Item 6. Supervision**

Advisor Representatives ("IARs") hold either a FINRA Series 7 and 66 or a Series 65 and are permitted to give advice to their clients and to discuss specific investments. All IARs are required to read and acknowledge their understanding of applicable compliance procedures. IARs are required to keep files related to their activities, subject to the review of Vision Advisors. E-mail correspondence and fees of Vision Advisors IARs is reviewed on a regular basis. Steven Silver is the Chief Compliance Officer and the Chief Operating Officer for Vision Advisors. Mr. Silver can be reached via phone at 203.388.2675 or via e-mail at: [ssilver@visionfinancialmarkets.com](mailto:ssilver@visionfinancialmarkets.com). Mr. Baack's activity is supervised by Howard Rothman, who can be reached by email at [compliance@visionfinancialmarkets.com](mailto:compliance@visionfinancialmarkets.com) both are located at Vision Advisors Main office at 4 High Ridge Park, Stamford CT, 06905.

### **Item 7. Requirements for State Registered Investment Advisors**

The IAR has no disclosable material facts or events as required to be disclosed by State-Registered Advisers that relates to arbitrations, civil or self-regulatory organization or administrative procedures other than those listed in Item 3. *Disciplinary information* and no bankruptcies.