



John Paul Baack  
184 Derby Street  
Newton, MA 02465  
Office Phone: 617.319.1893

Vision Investment Advisors, LLC  
120 Long Ridge Road  
3 North  
Stamford, Connecticut 06902  
203.388.2700  
2.15.2018

This Brochure Supplement provides information about John Paul Baack that supplements the Brochure of Vision Investment Advisors, LLC ("VIA"). You should have received a copy of that Brochure. Please contact VIA at 1.877.836.3949 if you did not receive VIA'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, born 1967, holds a Bachelor of Science from Babson College in Wellesley, MA (1989), and a MBA from Bentley College in Waltham, MA (1996). Since August 2010, Mr. Baack has held the position as a Registered Representative with Vision Brokerage Services. In May 2012 Mr. Baack became 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 advisor 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, and are under the common control and ownership of Howard Rothman. Affiliates share and provide services to Vision Investment Advisors and its clients, including certain employees and other associated persons.

In addition, Mr. Baack is insurance licensed in the state of Massachusetts. He provides life insurance and is compensated through commissions. He also receives commission from the business he does with Vision Brokerage Services as a Registered Representative. He 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.

## **Item 5. Additional Compensation**

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

## **Item 6. Supervision**

Investment 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 VIA. E-mail correspondence and fees of IARs are reviewed on a regular basis. David E. Achzet is the Chief Compliance Officer for Vision Investment Advisors. Mr. Achzet can be reached via phone at 203.388.2707 or via e-mail at: [dachzet@vfmarkets.com](mailto:dachzet@vfmarkets.com). Mr. Baack's activity is supervised by Steven Silver, who can be reached via phone at 203.388.2675 or via e-mail at: [ssilver@vfmarkets.com](mailto:ssilver@vfmarkets.com). Both Mr. Silver and Mr. Achzet are located at VIA's main office at 120 Long Ridge Road, 3 North, Stamford CT, 06902.