



IAPD Report

GREGORY STEVEN BENNETT

CRD# 1463485

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

GREGORY STEVEN BENNETT (CRD# 1463485)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	08/22/2016
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	08/22/2016

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **49** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	MORGAN STANLEY	149777	CLAYTON, MO	06/01/2009 - 09/01/2016
IA	MORGAN STANLEY	149777	CLAYTON, MO	06/01/2009 - 09/01/2016
B	MORGAN STANLEY & CO. INCORPORATED	8209	ST. LOUIS, MO	04/02/2007 - 06/01/2009

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **49** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**
Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205
Firm ID#: 19616

Regulator	Registration	Status	Date
B Cboe Exchange, Inc.	General Securities Representative	Approved	12/02/2021
B FINRA	General Securities Representative	Approved	08/22/2016
B NYSE American LLC	General Securities Representative	Approved	08/22/2016
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/22/2016
B Nasdaq Stock Market	General Securities Representative	Approved	08/22/2016
B New York Stock Exchange	General Securities Representative	Approved	08/22/2016
B Alabama	Agent	Approved	05/16/2024
B Alaska	Agent	Approved	02/21/2024
B Arizona	Agent	Approved	06/18/2024
B Arkansas	Agent	Approved	05/17/2024
B California	Agent	Approved	05/16/2024
B Colorado	Agent	Approved	08/22/2016
B Connecticut	Agent	Approved	05/16/2024



Qualifications

Regulator	Registration	Status	Date
B Delaware	Agent	Approved	01/07/2020
B District of Columbia	Agent	Approved	05/20/2024
B Florida	Agent	Approved	01/10/2023
B Georgia	Agent	Approved	01/29/2024
B Hawaii	Agent	Approved	05/16/2024
B Idaho	Agent	Approved	05/21/2024
B Illinois	Agent	Approved	08/22/2016
B Indiana	Agent	Approved	07/11/2024
B Iowa	Agent	Approved	05/17/2024
B Kansas	Agent	Approved	04/12/2019
B Kentucky	Agent	Approved	05/16/2024
B Louisiana	Agent	Approved	05/30/2024
B Maine	Agent	Approved	05/16/2024
B Maryland	Agent	Approved	05/30/2024
B Massachusetts	Agent	Approved	05/16/2024
B Michigan	Agent	Approved	08/22/2016
B Minnesota	Agent	Approved	08/22/2016
B Mississippi	Agent	Approved	05/16/2024
B Missouri	Agent	Approved	08/23/2016



Qualifications

	Regulator	Registration	Status	Date
IA	Missouri	Investment Adviser Representative	Approved	08/23/2016
B	Montana	Agent	Approved	05/16/2024
B	Nebraska	Agent	Approved	05/16/2024
B	Nevada	Agent	Approved	05/16/2024
B	New Hampshire	Agent	Approved	08/09/2019
B	New Jersey	Agent	Approved	11/16/2016
B	New Mexico	Agent	Approved	05/17/2024
B	New York	Agent	Approved	08/22/2016
B	North Carolina	Agent	Approved	05/17/2024
B	North Dakota	Agent	Approved	05/20/2024
B	Ohio	Agent	Approved	05/16/2024
B	Oklahoma	Agent	Approved	05/16/2024
B	Oregon	Agent	Approved	05/18/2024
B	Pennsylvania	Agent	Approved	05/16/2024
B	Rhode Island	Agent	Approved	02/27/2026
B	South Carolina	Agent	Approved	08/29/2024
B	Tennessee	Agent	Approved	08/29/2024
B	Texas	Agent	Approved	08/22/2016
IA	Texas	Investment Adviser Representative	Approved	08/22/2016



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	06/13/2024
B Virgin Islands	Agent	Approved	06/13/2024
B Virginia	Agent	Approved	06/07/2018
B Washington	Agent	Approved	01/26/2024
B Wisconsin	Agent	Approved	06/18/2024
B Wyoming	Agent	Approved	06/18/2024

Branch Office Locations

WELLS FARGO ADVISORS
14767 NORTH OUTER 40 RD
FL 2
CHESTERFIELD, MO 63017

WELLS FARGO ADVISORS
SAINT LOUIS, MO



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	12/05/2001
 General Securities Representative Examination (S7)	Series 7	02/15/1986

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	03/06/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/13/1986

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	06/01/2009 - 09/01/2016	MORGAN STANLEY	CRD# 149777	CLAYTON, MO
IA	06/01/2009 - 09/01/2016	MORGAN STANLEY	CRD# 149777	CLAYTON, MO
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	ST. LOUIS, MO
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	ST. LOUIS, MO
IA	04/15/2002 - 04/02/2007	MORGAN STANLEY	CRD# 7556	ST. LOUIS, MO
B	01/08/1998 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	ST. LOUIS, MO
B	06/21/1997 - 12/05/1997	MERCANTILE INVESTMENT SERVICES, INC.	CRD# 19908	ST. LOUIS, MO
B	05/20/1986 - 06/21/1997	MARK TWAIN BROKERAGE SERVICES, INC.	CRD# 16925	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	Registered Rep	Y	Clayton, MO, United States
08/2016 - 11/2016	Wells Fargo Advisors, LLC	Registered Rep	Y	Clayton, MO, United States
01/2015 - 08/2016	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 08/2016	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	ST. LOUIS, MO, United States
04/2007 - 08/2016	MORGAN STANLEY & CO., INCORPORATED	MASS TRANSFER	Y	ST. LOUIS, MO, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

B & Y OUTDOORS LLC, NOT INV RELATED, ST LOUIS, MO, 50% OWNER, START: 8/31/2016, 24 HOURS PER MONTH/0 DURING TRADING, DUTIES: FARM THAT GROWS CORN & SOYBEANS.

CO-TRUSTEE FOR SPOUSE'S TRUST; INV RELATED; ST LOUIS, MO; START: 8/23/16; 0 HR/MO; 0 DURING TRADING.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/26/1994
Docket/Case Number:	C04930062
Employing firm when activity occurred which led to the regulatory action:	MARK TWAIN BROKERAGE SERVICES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/26/1994
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	



Regulator Statement

ON OCTOBER 26, 1994, DISTRICT NO. 4 NOTIFIED MARK TWAIN BROKERAGE SERVICES, INC., CAROL JEAN JACOBSMEYER, AND GREGORY STEVEN BENNETT THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C04930062 WAS ACCEPTED; THEREFORE, RESPONDENTS MEMBER AND JACOBSMEYER ARE CENSURED AND FINED \$5,000, JOINTLY AND SEVERALLY; AND, RESPONDENT BENNETT IS CENSURED AND FINED \$5,000 - (ARTICLE III, SECTIONS 1, 2 AND 27 OF THE RULES OF FAIR PRACTICE - RESPONDENT BENNETT EXECUTED TRANSACTIONS IN FIVE CUSTOMER ACCOUNTS WHICH CONTRAVENED THE BOARD OF GOVERNORS' INTERPRETATION WITH RESPECT TO "BREAKPOINT SALES" AND WERE THE RESULT OF INHERENTLY UNSUITABLE RECOMMENDATIONS BECAUSE MORE OF THE CUSTOMERS' MONIES THAN NECESSARY WERE APPLIED TO PAYMENT OF COMMISSIONS TO RESPONDENT BENNETT RATHER THAN UTILIZED FOR INVESTMENT; AND, RESPONDENT MEMBER, ACTING THROUGH RESPONDENT JACOBSMEYER, FAILED TO ADEQUATELY SUPERVISE THE AFOREMENTIONED ACTIVITIES OF RESPONDENT BENNETT IN THAT THE FIRM FAILED TO ADOPT ADEQUATE WRITTEN SUPERVISORY PROCEDURES AND/OR A SUPERVISORY SYSTEM TO DETECT "BREAKPOINT SALES" AND FAILED TO PERFORM ADEQUATE SUPERVISION OF RESPONDENT BENNETT BY PROPERLY AND COMPLETELY REVIEWING THE ACTIVITY IN THE CUSTOMER ACCOUNTS).

\$5,000 PAID ON 11/16/94 INVOICE #94-04-714

Reporting Source: Individual

Regulatory Action Initiated By: NASD DISTRICT 4

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/26/1994

Docket/Case Number: C04930062

Employing firm when activity occurred which led to the regulatory action: MARK TWAIN BROKERAGE SERVICES, INC.

Product Type:

Other Product Type(s):

Allegations: FROM 1985 THROUGH 1992 EXECUTED TRANSACTIONS IN FIVE CUSTOMER ACCOUNTS WHERE CLIENTS INVESTMENTS HAD MORE CUSTOMER MONIES THAN NECESSARY WERE APPLIED TO COMMISSIONS RATHER THAN UTILIZED FOR INVESTMENTS (BREAKPOINT)

Current Status: Final



Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/26/1994
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	CENSURE & FINE OF \$5000.00
Broker Statement	AT ALL TIMES, I FOLLOWED CLIENT INVESTMENT DIRECTIVES AND AT NO TIME INTENTIONALLY MADE RECOMMENDATIONS IN ORDER TO GENERATE EXCESSIVE COMMISSIONS. THE MAIN CLIENT INVOLVED IN THIS MATTER WAS A INSTITUTION WITH SIGNIFICANT INVESTMENT EXPERIENCE AND NET WORTH. THEY ALONG WITH MY OTHER CLIENTS INVOLVED IN THIS MATTER CONTINUE TO UTILIZE MY SERVICES FOR INVESTMENTS AND HAVE EXPRESSED TO THE FIRM THEIR DISSATISFACTION WITH THE RESULTS OF THE NASD INVESTIGATION.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	MERCANTILE INVESTMENT SERVICES
Termination Type:	Voluntary Resignation
Termination Date:	12/05/1997
Allegations:	MERCANTILE SERVICES AND MS. NANCY VARNER, COMPLIANCE DIRECTOR ERRONEOUSLY ALLEGED THAT I MISAPPROPRIATED ORIGINAL DOCUMENTS UPON MY RESIGNATION.
Product Type:	Other
Other Product Types:	MERCANTILE CLIENT STATEMENTS
Broker Statement	AFTER MONTHS OF CONFUSION & GROSSLY INADEQUATE SUPPORT SURROUNDING THE MERGER OF MARK TWAIN BANK AND MERCANTILE BANK, MY PARTNER, TRACI VANBUREN AND I DECIDED THAT OUR CLIENT AND OURSELVES MUST HAVE A MORE STABLE, PROFESSIONAL FINANCIAL FIRM TO CONTINUE OUR BUSINESS.



End of Report

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