



IAPD Report

Gregory T. Brooks

CRD# 1677862

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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.



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 T. Brooks (CRD# 1677862)

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 **03/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	01/08/2021
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	01/10/2021

QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **53** 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
IA	PROFESSIONAL BROKER-DEALER FINANCIAL PLANNING, INC.	23651	Worthington, OH	02/29/2016 - 11/20/2020
B	PROFESSIONAL BROKER-DEALER FINANCIAL PLANNING, INC.	23651	CASTLE ROCK, CO	02/23/2016 - 11/20/2020
IA	ROYAL OAK FINANCIAL GROUP	166391	WORTHINGTON, OH	01/17/2014 - 02/29/2016

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
Financial	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 **53** jurisdiction(s) and 27 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**
Main Address: 270 PARK AVENUE
NEW YORK, NY 10017
Firm ID#: 79

Regulator	Registration	Status	Date
B 24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B BOX Exchange LLC	General Securities Representative	Approved	01/08/2021
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	07/19/2022
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	01/08/2021
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	01/08/2021
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/08/2021
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	07/19/2022
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	01/08/2021
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	07/19/2022
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	01/08/2021
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	07/19/2022
B Cboe Exchange, Inc.	General Securities Representative	Approved	01/08/2021
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	07/19/2022



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/08/2021
B FINRA	General Securities Sales Supervisor	Approved	07/19/2022
B Investors' Exchange LLC	General Securities Representative	Approved	01/08/2021
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	01/08/2021
B MEMX LLC	General Securities Representative	Approved	01/08/2021
B MEMX LLC	General Securities Sales Supervisor	Approved	07/19/2022
B MIAX Emerald, LLC	General Securities Representative	Approved	01/08/2021
B MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	07/19/2022
B MIAX PEARL, LLC	General Securities Representative	Approved	01/08/2021
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	07/19/2022
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B MIAX Sapphire	General Securities Sales Supervisor	Approved	09/23/2024
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	01/08/2021
B Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	07/19/2022
B NYSE American LLC	General Securities Representative	Approved	01/08/2021
B NYSE American LLC	General Securities Sales Supervisor	Approved	07/19/2022
B NYSE Arca, Inc.	General Securities Representative	Approved	01/08/2021
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	07/19/2022



Qualifications

Regulator	Registration	Status	Date
B NYSE National, Inc.	General Securities Representative	Approved	01/08/2021
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	07/19/2022
B NYSE Texas, Inc.	General Securities Representative	Approved	01/08/2021
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	07/19/2022
B Nasdaq GEMX, LLC	General Securities Representative	Approved	01/08/2021
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	07/19/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/08/2021
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	07/19/2022
B Nasdaq MRX, LLC	General Securities Representative	Approved	01/08/2021
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	07/19/2022
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/08/2021
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	07/19/2022
B Nasdaq Stock Market	General Securities Representative	Approved	01/08/2021
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/19/2022
B Nasdaq Texas, LLC	General Securities Representative	Approved	01/08/2021
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	07/19/2022
B New York Stock Exchange	General Securities Representative	Approved	01/08/2021
B New York Stock Exchange	General Securities Sales Supervisor	Approved	07/19/2022
B Alabama	Agent	Approved	02/05/2021



Qualifications

Regulator	Registration	Status	Date
B Alaska	Agent	Approved	02/03/2021
B Arizona	Agent	Approved	01/21/2021
B Arkansas	Agent	Approved	02/03/2021
B California	Agent	Approved	01/27/2021
B Colorado	Agent	Approved	01/26/2021
B Connecticut	Agent	Approved	01/14/2021
B Delaware	Agent	Approved	01/27/2021
B District of Columbia	Agent	Approved	01/21/2021
B Florida	Agent	Approved	01/19/2021
B Georgia	Agent	Approved	03/30/2021
B Hawaii	Agent	Approved	03/04/2021
B Idaho	Agent	Approved	01/22/2021
B Illinois	Agent	Approved	03/16/2021
B Indiana	Agent	Approved	02/03/2021
B Iowa	Agent	Approved	02/01/2021
B Kansas	Agent	Approved	01/27/2021
B Kentucky	Agent	Approved	02/10/2021
B Louisiana	Agent	Approved	01/19/2021
B Maine	Agent	Approved	01/27/2021



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	01/11/2021
B Massachusetts	Agent	Approved	03/29/2021
B Michigan	Agent	Approved	03/26/2021
B Minnesota	Agent	Approved	01/28/2021
B Mississippi	Agent	Approved	01/26/2021
B Missouri	Agent	Approved	02/28/2022
B Montana	Agent	Approved	01/27/2021
B Nebraska	Agent	Approved	04/22/2021
B Nevada	Agent	Approved	02/10/2021
B New Hampshire	Agent	Approved	02/02/2022
B New Jersey	Agent	Approved	02/19/2021
B New Mexico	Agent	Approved	01/27/2021
B New York	Agent	Approved	02/02/2021
B North Carolina	Agent	Approved	01/29/2021
B North Dakota	Agent	Approved	02/01/2021
B Ohio	Agent	Approved	01/10/2021
IA Ohio	Investment Adviser Representative	Approved	01/10/2021
B Oklahoma	Agent	Approved	01/27/2021
B Oregon	Agent	Approved	04/05/2021



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	01/27/2021
B Puerto Rico	Agent	Approved	01/21/2021
B Rhode Island	Agent	Approved	01/26/2021
B South Carolina	Agent	Approved	02/19/2021
B South Dakota	Agent	Approved	01/28/2021
B Tennessee	Agent	Approved	01/28/2021
B Texas	Agent	Approved	01/29/2021
IA Texas	Investment Adviser Representative	Restricted Approval	02/08/2021
B Utah	Agent	Approved	01/28/2021
B Vermont	Agent	Approved	01/26/2021
B Virgin Islands	Agent	Approved	01/29/2021
B Virginia	Agent	Approved	01/27/2021
B Washington	Agent	Approved	02/09/2021
B West Virginia	Agent	Approved	02/11/2021
B Wisconsin	Agent	Approved	01/28/2021
B Wyoming	Agent	Approved	01/27/2021

Branch Office Locations

J.P. MORGAN SECURITIES LLC
370 S Cleveland Ave
FLoor 02



Qualifications

Westerville, OH 43081





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 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	07/18/2022
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	02/16/2022

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/18/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/26/2021
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/23/2020

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
IA	02/29/2016 - 11/20/2020	PROFESSIONAL BROKER-DEALER FINANCIAL PLANNING, INC.	CRD# 23651	Worthington, OH
B	02/23/2016 - 11/20/2020	PROFESSIONAL BROKER-DEALER FINANCIAL PLANNING, INC.	CRD# 23651	CASTLE ROCK, CO
IA	01/17/2014 - 02/29/2016	ROYAL OAK FINANCIAL GROUP	CRD# 166391	WORTHINGTON, OH
B	05/25/2010 - 01/21/2014	RESOURCE HORIZONS GROUP LLC	CRD# 104368	POWELL, OH
IA	06/02/2010 - 12/16/2013	ARGENTUS ADVISORS, LLC	CRD# 116083	GIG HARBOR, WA
B	07/11/2008 - 05/21/2010	CAPITAL CITY SECURITIES, LLC	CRD# 146001	COLUMBUS, OH
IA	11/07/2005 - 05/21/2010	CAPITAL CITY ASSET MANAGEMENT GROUP, LLC	CRD# 134008	COLUMBUS, OH
B	06/15/2005 - 07/23/2008	REGIS SECURITIES CORPORATION	CRD# 103711	COLUMBUS, OH
IA	06/28/2005 - 10/10/2005	CAPITAL CITY PARTNERS, LLC	CRD# 132099	COLUMBUS, OH
B	03/26/2001 - 07/05/2005	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	FOLSOM, CA
IA	02/05/2001 - 06/14/2005	GUSTAFSON BAXTER FINANCIAL SERVICES INC	CRD# 110289	POWELL, OH
B	10/17/2000 - 03/06/2001	DONAHUE SECURITIES, INC.	CRD# 24330	CINCINNATI, OH
B	01/23/1995 - 10/24/2000	PRIM SECURITIES, INCORPORATED	CRD# 30504	INDEPENDENCE, OH
B	03/22/1993 - 12/16/1994	WARWICK SECURITIES, INC.	CRD# 24356	
B	03/07/1991 - 01/01/1993	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI



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	08/16/1990 - 12/31/1990	CIGNA SECURITIES, INC.	CRD# 145	RADNOR, PA
B	05/24/1988 - 10/28/1989	HIBBARD BROWN & CO., INC.	CRD# 18246	NEW YORK, NY
B	07/22/1987 - 05/28/1988	SHERWOOD CAPITAL, INC.	CRD# 10474	

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
11/2020 - Present	J.P. Morgan Securities LLC	REGISTERED REPRESENTATIVE	Y	Westerville, OH, United States
11/2020 - Present	JPMorgan Chase Bank, NA.	WORKFORCE MEMBER	Y	Westerville, OH, United States
01/2013 - 12/2023	Ohio High School Athletic Association	Referee	N	Columbus, OH, United States
01/2011 - 12/2023	United States Soccer Foundation & Ohio High School Athletic Ass.	Referee	N	Chicago, IL, United States
01/2016 - 10/2020	Professional Broker-Dealer Financial Planning, Inc	Registered Representative	Y	Powell, OH, United States

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.

No information reported.



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
Financial	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:	Individual
Regulatory Action Initiated By:	State of Ohio Insurance Department
Sanction(s) Sought:	Revocation
Date Initiated:	07/28/2014
Docket/Case Number:	1077756
Employing firm when activity occurred which led to the regulatory action:	INDEPENDENT AGENT FOR LIFE AND HEALTH
Product Type:	Insurance
Allegations:	My Ohio Life & Health license was suspended, then terminated due to outstanding State taxes owed (approximately \$13,000), as I was unable to meet the \$2000/month payment plan that the State's "collecting attorney" demanded, and my license was eventually revoked. I did speak with a representative AT the Ohio Department of Insurance, who after the fact informed me that THEY would have taken "as little as \$50 a month" to stay current. At that point, it was too late, as the license was already terminated.
Current Status:	Final
Resolution:	Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/09/2020
Sanctions Ordered:	Revocation Suspension
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	Ohio Life and Health Insurance license
Duration:	5 years, 8 1/2 months
Start Date:	07/14/2014
End Date:	04/09/2020
Requalification 1 of 1	
Requalification Type:	Requalification by Exam
Length of time given to requalify:	5 years
Type of exam required :	Life and Health Insurance
Has condition been satisfied:	Yes
Broker Statement	I worked very hard to pay the past amounts owed, re-took (and passed) the Ohio Life and Health licensing exam on August 9, 2019. On October 29, 2019, I successfully attended a hearing with the Ohio Department of Insurance to represent my case for reappointment of my Ohio Life & Health license. On April 9, 2020, my license was officially reinstated, as I had in fact, as found by Department attorneys at my reinstatement hearing, complied with ALL conditions of reappointment.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	02/19/2020
Organization Investment-Related?	No
Type of Court:	Internal Revenue Service
Name of Court:	
Location of Court:	
Docket/Case #:	1001552962
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	02/19/2020
If a compromise with creditor, provide:	
Name of Creditor:	Internal Revenue Service
Original Amount Owed:	\$123,597.00
Terms Reached with Creditor:	Pay a sum of \$876, timely file and pay all required taxes for five years, beginning on 02/19/2020.



End of Report

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