IAPD Report

Gregory Scott Griffith Sr

CRD# 1849538

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

Gregory Scott Griffith Sr (CRD# 1849538)

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 **04/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	U.S. BANCORP ADVISORS, LLC	CRD# 14455	02/13/2026
IA	U.S. BANCORP ADVISORS, LLC	CRD# 14455	02/13/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	U.S. BANCORP INVESTMENTS, INC.	17868	Sevierville, TN	05/06/2025 - 02/13/2026
IA	U.S. BANCORP INVESTMENTS, INC.	17868	Sevierville, TN	05/06/2025 - 02/13/2026
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	Sevierville, TN	01/18/2019 - 05/08/2025

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
Customer Dispute	1

©2026 FINRA. All rights reserved. Report about Gregory Scott Griffith Sr.

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 **1** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **U.S. BANCORP ADVISORS, LLC**
Main Address: 60 LIVINGSTON AVE
EP-MN-N2WC
SAINT PAUL, MN 55107
Firm ID#: 14455

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	02/13/2026
B	FINRA	General Securities Representative	Approved	02/13/2026
B	Tennessee	Agent	Approved	02/13/2026
IA	Tennessee	Investment Adviser Representative	Approved	02/13/2026

Branch Office Locations

U.S. BANCORP ADVISORS, LLC
901 Parkway
Sevierville, TN 37862

U.S. BANCORP ADVISORS, LLC
417 Foothills Mall Dr
Maryville, TN 37801

U.S. BANCORP ADVISORS, LLC
10304 Chapman Hwy
Seymour, TN 37865

U.S. BANCORP ADVISORS, LLC
6000 Kingston Pike
Knoxville, TN 37919

U.S. BANCORP ADVISORS, LLC
10626 HARDIN VALLEY RD
KNOXVILLE, TN 37932

U.S. BANCORP ADVISORS, LLC
8845 KINGSTON PIKE
KNOXVILLE, TN 37923

U.S. BANCORP ADVISORS, LLC
607 Market St
Knoxville, TN 37902

©2026 FINRA. All rights reserved. Report about Gregory Scott Griffith Sr.

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
B	General Securities Principal Examination (S24)	Series 24	04/14/2008
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	09/15/1995

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/17/1988

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/16/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/29/1988

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

©2026 FINRA. All rights reserved. Report about Gregory Scott Griffith Sr.

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	05/06/2025 - 02/13/2026	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	Sevierville, TN
IA	05/06/2025 - 02/13/2026	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	Sevierville, TN
IA	01/18/2019 - 05/08/2025	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	Sevierville, TN
B	01/17/2019 - 05/08/2025	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	Sevierville, TN
IA	08/07/2018 - 01/17/2019	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	MARYVILLE, TN
B	08/02/2018 - 01/17/2019	CETERA INVESTMENT SERVICES LLC	CRD# 15340	MARYVILLE, TN
IA	11/30/2017 - 08/10/2018	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	Sevierville, TN
B	11/30/2017 - 08/10/2018	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	SEVIERVILLE, TN
IA	01/02/2009 - 12/04/2017	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	SEVIERVILLE, TN
B	11/05/2007 - 12/04/2017	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	SEVIERVILLE, TN
IA	11/13/2007 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	SEVIERVILLE, TN
IA	05/24/2007 - 11/06/2007	MORGAN STANLEY & CO., INCORPORATED	CRD# 8209	KNOXVILLE, TN
B	05/23/2007 - 11/06/2007	MORGAN STANLEY & CO., INCORPORATED	CRD# 8209	KNOXVILLE, TN
B	11/15/2006 - 05/18/2007	INVESTACORP, INC.	CRD# 7684	SEVIERVILLE, TN
IA	06/23/2006 - 11/02/2006	AMSOUTH INVESTMENT MANAGEMENT COMPANY LLC	CRD# 111757	MEMPHIS, TN
B	05/31/2006 - 10/31/2006	AMSOUTH INVESTMENT SERVICES, INC.	CRD# 15692	JEFFERSON CITY, TN

©2026 FINRA. All rights reserved. Report about Gregory Scott Griffith Sr.

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	03/17/2004 - 11/03/2004	FTB ADVISORS, INC.	CRD# 17117	KNOXVILLE, TN
B	03/24/2003 - 11/03/2004	FIRST TENNESSEE BROKERAGE, INC.	CRD# 17117	MEMPHIS, TN
B	06/17/1999 - 02/26/2002	UVEST INVESTMENT SERVICES	CRD# 13787	CHARLOTTE, NC
B	09/05/1997 - 06/11/1999	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	KNOXVILLE, TN
B	02/28/1997 - 06/13/1997	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	10/04/1990 - 03/11/1997	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
B	09/20/1988 - 01/30/1989	BLINDER, ROBINSON & CO., INC.	CRD# 5096	

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
02/2026 - Present	U.S. Bancorp Advisors, LLC	Wealth Management Advisor	Y	Sevierville, TN, United States
05/2025 - 02/2026	U.S. Bancorp Investments, Inc.	Wealth Management Advisor	Y	Sevierville, TN, United States
07/2021 - 05/2025	CNB Wealth Management	Officer/VP	N	Sevierville, TN, United States
01/2019 - 05/2025	CITIZENS NATIONAL BANK	Officer-Vice President	Y	Sevierville, TN, United States
01/2019 - 05/2025	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	INVESTMENT ADVISER	Y	Sevierville, TN, United States
01/2019 - 05/2025	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	Sevierville, TN, United States
08/2018 - 01/2019	CETERA INVESTMENT SERVICES LLC	Financial Advisor	Y	Maryville, TN, United States
11/2017 - 07/2018	Cambridge Investment Services	Financial Advisor	Y	Sevierville, TN, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2007 - 11/2017	RAYMOND JAMES FINANCIAL SERVICES	Branch Manager & Financial Advisor	Y	SEVIERVILLE, TN, 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.

(1) The Tennessee Rangers Organization; Investment-related; Nashville, TN; Non-profit constibulary services to state of TN residents and public; Treasurer, Board of Directors; 01/2019; 2-5 hours/month; 0 hours/trading; Assist with the organization's donations received, expenses allocated, Board decisions made on all organization aspects.
(2) Responsible Solutions Holding LLC; Not investment-related; Sevierville, TN; Internet technology and webhosting services; Owner; 8/2022; 5-10 hours/month; 0 hours/trading; Assist IT programmers/developers with guidance, direction, and IT service/product access through other third party vendor options (GoDaddy, Adobe, etc.).
(3) Sevier County Reserve Deputy Sheriff; Not investment-related; Sevierville, TN; Charitable community service to the Sheriff's office and community of Sevier County; Reserve Deputy Sheriff; 7/2023; 8 hours/month; 0 hours/trading; Provide the highest quality law enforcement service to our citizens, this program focuses on the type of community policing that involves benevolence.
(4) Lakeway CASA; Not investment-related; Morristown, TN; Charitable, Non-profit; Board Member; Board Member; 10/1/2024; 2 Hours/mo; 0 Hours/trading; Assist in fundraising, event planning, policy, marketing/public relations, social networking/community relations, child welfare, and volunteer recruitment/services.

©2026 FINRA. All rights reserved. Report about Gregory Scott Griffith Sr.

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.

©2026 FINRA. All rights reserved.

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
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMSOUTH INVESTMENT SERVICES / MORGAN KEEGAN & COMPANY
Allegations:	CLAIM ALLEGES UNSUITABILITY AND MISREPRESENTATION WITH REGARD TO A VARIABLE ANNUITY PURCHASE IN 2006.
Product Type:	Annuity-Variable
Alleged Damages:	$62,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/03/2011
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	04/27/2010
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

©2026 FINRA. All rights reserved.

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-02932
Date Notice/Process Served:	10/03/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/28/2012
Monetary Compensation Amount:	$10,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN KEEGAN & COMPANY INC.
Allegations:	WRITTEN COMPLAINT DATED 3.9.10 ALLEGES MISREPRESENTATION WITH REGARD TO A VARIABLE ANNUITY PURCHASE
Product Type:	Annuity-Variable
Alleged Damages:	$62,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/09/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	04/27/2010
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-02932
Date Notice/Process Served:	10/03/2011
Arbitration Pending?	No
Disposition:	Settled

©2026 FINRA. All rights reserved.

Disposition Date:	09/28/2012
Monetary Compensation Amount:	$10,000.00
Individual Contribution Amount:	$0.00
Broker Statement	TO DATE CUSTOMER IS STILL HOLDING THE ANNUITY CONTRACT WITH COMPANY, AND HAS DECIDED TO NOT LIQUIDATE, AFTER BEING PROVIDED THIS OPTION. THIS COMPLAINT HAS NOW EVOLVED IN TO A PENDING ARBITRATION.

©2026 FINRA. All rights reserved. Report about Gregory Scott Griffith Sr.

End of Report

This page is intentionally left blank.

©2026 FINRA. All rights reserved. Report about Gregory Scott Griffith Sr.