IAPD Report

GREGORY ALLEN MCROBERTS

CRD# 2180002

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 ALLEN MCROBERTS (CRD# 2180002)

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 **11/28/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	09/19/2005
B	MML INVESTORS SERVICES, LLC	CRD# 10409	09/21/2005

QUALIFICATIONS

This representative is currently registered in **1** 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	SECURIAN FINANCIAL SERVICES, INC.	15296	CARMEL, IN	02/21/2002 - 09/22/2005
B	SECURIAN FINANCIAL SERVICES, INC.	15296	ST. PAUL, MN	01/22/2002 - 09/22/2005
B	ONEAMERICA SECURITIES, INC.	4173	INDIANAPOLIS, IN	05/15/1992 - 01/15/2002

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	2

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 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MML INVESTORS SERVICES, LLC**

Main Address: 1295 STATE STREET
SPRINGFIELD, MA 01111-0001

Firm ID#: 10409

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/21/2005
B	FINRA	General Securities Representative	Approved	09/21/2005
B	Alabama	Agent	Approved	03/02/2020
B	Alaska	Agent	Approved	03/02/2020
B	Arizona	Agent	Approved	03/02/2020
B	Arkansas	Agent	Approved	03/02/2020
B	California	Agent	Approved	03/16/2017
B	Colorado	Agent	Approved	03/02/2020
B	Connecticut	Agent	Approved	03/02/2020
B	Delaware	Agent	Approved	03/02/2020
B	District of Columbia	Agent	Approved	03/02/2020
B	Florida	Agent	Approved	01/06/2010
B	Georgia	Agent	Approved	03/02/2020

Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	03/02/2020
B	Idaho	Agent	Approved	03/02/2020
B	Illinois	Agent	Approved	04/26/2011
IA	Illinois	Investment Adviser Representative	Approved	10/16/2014
IA	Indiana	Investment Adviser Representative	Approved	09/19/2005
B	Indiana	Agent	Approved	09/27/2005
B	Iowa	Agent	Approved	03/16/2017
B	Kansas	Agent	Approved	03/16/2017
B	Kentucky	Agent	Approved	02/08/2016
B	Louisiana	Agent	Approved	03/02/2020
B	Maine	Agent	Approved	03/16/2017
B	Maryland	Agent	Approved	03/02/2020
B	Massachusetts	Agent	Approved	10/25/2019
B	Michigan	Agent	Approved	02/05/2010
B	Minnesota	Agent	Approved	03/02/2020
B	Mississippi	Agent	Approved	03/02/2020
B	Missouri	Agent	Approved	03/02/2020
B	Montana	Agent	Approved	03/02/2020
B	Nebraska	Agent	Approved	03/02/2020

Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	03/02/2020
B	New Hampshire	Agent	Approved	03/02/2020
B	New Jersey	Agent	Approved	01/06/2010
B	New Mexico	Agent	Approved	03/02/2020
B	New York	Agent	Approved	03/02/2020
B	North Carolina	Agent	Approved	03/20/2017
B	North Dakota	Agent	Approved	03/02/2020
B	Ohio	Agent	Approved	03/16/2017
IA	Ohio	Investment Adviser Representative	Approved	07/13/2018
B	Oklahoma	Agent	Approved	03/02/2020
B	Oregon	Agent	Approved	08/24/2011
B	Pennsylvania	Agent	Approved	03/02/2020
B	Puerto Rico	Agent	Approved	03/02/2020
B	Rhode Island	Agent	Approved	03/02/2020
B	South Carolina	Agent	Approved	03/16/2017
B	South Dakota	Agent	Approved	03/02/2020
B	Tennessee	Agent	Approved	03/16/2017
B	Texas	Agent	Approved	03/02/2020
IA	Texas	Investment Adviser Representative	Approved	03/02/2020

Qualifications

	Regulator	Registration	Status	Date
B	Utah	Agent	Approved	03/02/2020
B	Vermont	Agent	Approved	03/02/2020
B	Virgin Islands	Agent	Approved	01/18/2022
B	Virginia	Agent	Approved	03/16/2017
IA	Virginia	Investment Adviser Representative	Approved	11/05/2025
B	Washington	Agent	Approved	03/16/2017
B	West Virginia	Agent	Approved	02/08/2016
B	Wisconsin	Agent	Approved	03/16/2017
IA	Wisconsin	Investment Adviser Representative	Approved	07/02/2019
B	Wyoming	Agent	Approved	03/02/2020

Branch Office Locations

MML INVESTORS SERVICES, LLC
8888 Keystone Crossing
Suite 1600
Indianapolis, IN 46240

MML INVESTORS SERVICES, LLC
401 S W Water Street
Suite 303
Peoria, IL 61602

MML INVESTORS SERVICES, LLC
525 Junction Road
Suite 8100, North Tower
Madison, WI 53717

MML INVESTORS SERVICES, LLC
2441 Warrenville Road
Suite 300
Lisle, IL 60532

MML INVESTORS SERVICES, LLC
8044 Montgomery Road
Suite 620
Cincinnati, OH 45236

MML INVESTORS SERVICES, LLC
10401 Innovation Drive
Suite 125
Wauwatosa, WI 53226

MML INVESTORS SERVICES, LLC
30 S WACKER DRIVE
SUITE 2700
CHICAGO, IL 60606

MML INVESTORS SERVICES, LLC
3975 Fair Ridge Drive
Suite 315N
Fairfax, VA 22033

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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/25/2002

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	12/21/1998
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/13/1992

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/12/1991

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

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.

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	02/21/2002 - 09/22/2005	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	CARMEL, IN
B	01/22/2002 - 09/22/2005	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	ST. PAUL, MN
B	05/15/1992 - 01/15/2002	ONEAMERICA SECURITIES, INC.	CRD# 4173	INDIANAPOLIS, IN
B	05/15/1992 - 12/17/2001	AMERICAN UNITED LIFE INSURANCE COMPANY	CRD# 1075	INDIANAPOLIS, IN

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
09/2005 - Present	MASSMUTUAL LIFE INSURANCE CO	GENERAL AGENT	Y	INDIANAPOLIS, IN, United States
08/2005 - Present	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	INDIANAPOLIS, IN, United States
01/2005 - Present	GREGORY MCROBERTS	SELF EMPLOYED	N	CARMEL, IN, United States
02/2004 - Present	WESTPOINT ASSOCIATES	PRESIDENT	N	CARMEL, IN, United States
12/2003 - Present	WPFG FOUNDATION	PRESIDENT	Y	CARMEL, IN, United States
01/2002 - Present	WESTPOINT FINANCIAL GROUP	GENERAL AGENT	Y	INDIANAPOLIS, IN, 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) NAME: WESTPOINT INV REL: Y ADD: 8888 KEYSTONE CROSSING SUITE 1600, INDIANAPOLIS, IN NATURE: LIFE, HEALTH, GROUP HEALTH POSITION: SALES, AGENT START DATE: 01/01/2005 NO. HR/MO: 1 NO. HR/MO DURING SEC TRADING: 1(2) NAME: HMM LLC INV REL: Y ADD: RESIDENTIAL NATURE: RENTAL POSITION: OWNER START DATE: 5/1/2025 NO. HR/MO: 2 NO. HR/MO DURING SEC TRADING: 0 DUTIES: COLLECT CHECKS

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
Customer Dispute	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, INC.
Allegations:	ALLEGES THAT THE VARIABLE ANNUITY HE PURCHASED IN 2006 WAS MISREPRESENTED.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED.
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:	09/28/2009
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	10/08/2009
Settlement Amount:	

Individual Contribution Amount:

Broker Statement THE PRODUCER PROVIDED A WRITTEN RESPONSE TO THE INDIANA DEPARTMENT OF INSURANCE ADDRESSING THE ALLEGATIONS MADE BY THE COMPLAINANT AS THE DEPARTMENT HAD REQUESTED OF HIM.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ONEAMERICA SECURITIES INC
Allegations:	ON OR ABOUT MAY 2, 2001 CLIENT ALLEGED MR MCROBERTS MISREPRESENTED THE PURCHASE OF THREE VARIABLE UNIVERSAL LIFE INSURANCE CONTRACTS. CLIENT CLAIMED THAT HE MADE IT VERY CLEAR TO MR MCROBERTS AT THE TIME OF PURCHASE THAT HE WANTED NOTHING TO DO WITH THE STOCK MARKET IN CONNECTION WITH THESE CONTRACTS. CLIENT BELIEVES HE NEVER RECEIVED A CONTRACT FOR THE THREE VARIABLE UNIVERSAL LIFE INSURANCE POLICIES PURCHASED. THE FIRM HAS COMPLETED AN INVESTINGATION INTO THIS MATTER AND DENIED THE CLIENTS REQUEST FOR A FULL REFUND OF PREMIUMS PAID.
Product Type:	Annuity(ies) - Variable
Other Product Type(s):	VARIABLE UNIVERSAL LIFE INSURANCE
Alleged Damages:	$26,898.56

Customer Complaint Information

Date Complaint Received:	09/09/2003
Complaint Pending?	No
Status:	Denied
Status Date:	09/17/2003
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Firm Statement	ON OR ABOUT MAY 2, 2001 CLIENT ALLEGED MR MCROBERTS MISREPRESENTED THE PURCHASE OF THREE VARIABLE UNIVERSAL LIFE INSURANCE CONTRACTS. CLIENT CLAIMED THAT HE MADE IT VERY CLEAR TO MR MCROBERTS AT THE TIME OF PURCHASE THAT HE WANTED NOTHING TO DO WITH THE STOCK MARKET IN CONNECTION WITH THESE CONTRACTS. CLIENT BELIEVES HE NEVER RECEIVED A CONTRACT FOR THE THREE VARIABLE UNIVERSAL LIFE INSURANCE POLICIES PURCHASED. THE FIRM HAS COMPLETED AN INVESTINGATION INTO THIS MATTER AND DENIED THE CLIENTS REQUEST FOR A FULL REFUND OF PREMIUMS PAID.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ONEAMERICA SECURITIES

Allegations:	CLIENT ALLEGES THAT ON OR ABOUT 5/2/2001 REPRESENTATIVE MISREPRESENTED THE PURCHASE OF THREE VARIABLE UNIVERSAL LIFE INSURANCE CONTRACTS. CLIENT CLAIMS HE CLEARLY STATED TO REPRESENTATIVE AT THE TIME OF PURCHASE THAT HE WANTED NOTHING TO DO WITH THE STOCK MARKET IN CONNECTION WITH THE PURCHASE. FURTHER CLAIMS HE NEVER RECEIVED THE CONTRACTS.
Product Type:	Other
Other Product Type(s):	VARIABLE UNIVERSAL LIFE
Alleged Damages:	$26,898.56

Customer Complaint Information

Date Complaint Received:	09/29/2003
Complaint Pending?	No
Status:	Denied
Status Date:	09/17/2003
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	ONEAMERICA SECURITIES COMPLETED AN INVESTIGATION OF THE ALLEGATIONS AND DENIED THE CLIENT'S REQUEST FOR A FULL REFUND OF PREMIUMS PAID.

End of Report

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