



IAPD Report

STEPHEN GLENN GULLEY

CRD# 2414680

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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

STEPHEN GLENN GULLEY (CRD# 2414680)

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 **12/02/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MML INVESTORS SERVICES, LLC	CRD# 10409	03/25/2017
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	09/23/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	MML INVESTORS SERVICES, LLC	10409	LAKE OSWEGO, OR	03/25/2017 - 04/12/2017
IA	MSI FINANCIAL SERVICES, INC.	14251	LAKE OSWEGO, OR	03/05/2009 - 03/25/2017
B	MSI FINANCIAL SERVICES, INC.	14251	LAKE OSWEGO, OR	12/10/2003 - 03/25/2017

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
Criminal	3



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 **13** 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	Invest. Co and Variable Contracts	Approved	03/25/2017
B	Arizona	Agent	Approved	06/27/2018
B	California	Agent	Approved	03/25/2017
B	Colorado	Agent	Approved	06/24/2019
B	Florida	Agent	Approved	09/07/2017
B	Idaho	Agent	Approved	03/25/2017
B	Kansas	Agent	Approved	03/25/2017
B	Maine	Agent	Approved	11/23/2021
B	Massachusetts	Agent	Approved	04/30/2024
B	Oregon	Agent	Approved	03/25/2017
B	South Carolina	Agent	Approved	11/04/2019
B	Texas	Agent	Approved	09/23/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	09/23/2019



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	04/11/2023
B Washington	Agent	Approved	03/25/2017

Branch Office Locations

MML INVESTORS SERVICES, LLC
5885 MEADOWS ROAD
SUITE 850
LAKE OSWEGO, OR 97035

MML INVESTORS SERVICES, LLC
NEWBERG, OR



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, 2 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
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/26/1996

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	01/13/2009
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/10/1996

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	03/25/2017 - 04/12/2017	MML INVESTORS SERVICES, LLC	CRD# 10409	LAKE OSWEGO, OR
IA	03/05/2009 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	LAKE OSWEGO, OR
B	12/10/2003 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	LAKE OSWEGO, OR
B	12/10/2003 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	LAKE OSWEGO, OR
B	01/02/2001 - 12/19/2003	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	ST. PAUL, MN
B	01/31/2000 - 12/07/2000	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ
B	09/10/1996 - 02/01/2000	KMS FINANCIAL SERVICES, INC.	CRD# 3866	SEATTLE, WA

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
03/2017 - Present	GEORGE FOX UNIVERSITY	MEMBER, BOARD OF TRUSTEES	Y	NEWBERG, OR, United States
03/2017 - Present	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	LAKE OSWEGO, OR, United States
07/2016 - Present	MASSACHUSETTS MUTUAL LIFE INSURANCE COMPANY	AGENT	Y	LAKE OSWEGO, OR, United States
11/1999 - Present	PROVIDENCE NEWBERG HOSPITAL FOUNDATION	BOARD MEMBER	N	NEWBERG, OR, United States
07/1997 - Present	NORTHWEST YEARLY MEETING OF FRIENDS CHURCH FOUNDATION	BOARD MEMBER	N	NEWBERG, OR, United States
11/1996 - Present	FRIENDSVIEW MANOR	BOARD MEMBER	N	NEWBERG, OR, United States
03/1995 - 07/2019	NEWBERG FRIENDS CEMETERY	BOARD MEMBER	N	NEWBERG, OR, United States
12/2003 - 03/2017	METLIFE SECURITIES, INC.	SALES	Y	LAKE OSWEGO, OR, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2003 - 03/2017	METROPOLITAN LIFE INSURANCE COMPANY	SALES	Y	LAKE OSWEGO, OR, 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: STEPHEN G GULLEY INV REL: Y ADD: 5885 MEADOWS RD #850 LAKE OSWEGO OR 97035 NATURE: INDIVIDUAL LIFE/HEALTH, FIXED ANNUITY, DI, LTC POSITION: SALES AND SERVICE START DATE: 7/1/2016 NO HRS/MO: 30 NO HRS/MO DUR TRADING: 30 (2) NAME: FRIENDSVIEW RETIREMENT COMMUNITY INV REL: N ADD: 1301 FUTTON ST, NEWBERG, OR 97132 NATURE: RETIREMENT LIVING FACILITY POSITION: VICE CHAIRMAN OF BOARD START DATE: 07/07/2025 NO HRS/MO: 3 NO/HRS MO DUR TRADING: 0 DESCRIBE DUTIES: MEMBER OF THE FINANCE COMMITTEE AND EXECUTIVE COMMITTEE - REVIEW FINANCIAL REPORTS AS COMMITTEE MEMBER MEET OCCASIONALLY AS NEEDED W/EXECUTIVE COMMITTEE -CHAIR, VICE CHAIR AND ALL CHAIRS OF OTHER COMMITTEES. (3) NAME: PROVIDENCE NEWBERG HEALTH FOUNDATION INV REL: Y ADD: 1001 PROVIDENCE DR., NEWBERG, OR 97132 NATURE: NEWBERG PROVIDENCE FOUNDATION RAISES MONEY FOR ASSISTANCE TO HOSPITAL NEEDS WHEN REQUESTED BY THE HOSPITAL POSITION: BOARD TREASURER START DATE: 07/07/2025 NO HRS/MO: 1 NO/HRS MO DUR TRADING: 1 DESCRIBE DUTIES: MEET QUARTERLY TO REVIEW FINANCIAL REPORTS PROVIDED BY PROVIDENCE HOME OFFICE. CONSIDER DONATIONS TO AREA REQUESTS IN NEWBERG. (4) NAME: NEWBERG FRIENDS CHURCH INV REL: N ADD: 307 S. COLLEGE ST, NEWBERG, OR 97132 NATURE: CHURCH POSITION: TRUSTEE START DATE: 07/07/2025 NO HRS/MO: 4 NO/HRS MO DUR TRADING: 0 DESCRIBE DUTIES: OVERSEE BUILDING AND GROUNDS OPERATIONS RECOMMEND REPAIRS AND MAINTENACE OF BUILDING.



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
Criminal	3

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 3

Reporting Source: Individual

Court Details: CIRCUIT COURT OF THE STATE OF OREGON.
85-2550

Charge Date: 10/31/1985

Charge Details: SEXUAL ABUSE 2ND DEGREE

Felony? No

Current Status: Final

Status Date: 01/29/1986

Disposition Details: AQUITTED 1/29/1986

Broker Statement FORMER STUDENT ACCUSED ME OF IMPROPER CONDUCT WITH HER. SHE HAD APPROACHED ME SUGGESTING ROMANTIC INVOLVEMENT. I DECLINED. SHE MADE TELEPHONE CALLS TO ME HOME,ETC. TRYING TO MEET WITH ME. FILED CHARGES ACCUSING ME OF TOUCHING HER IN INAPPROPRIATE PLACES.
AQUITTED OF ALL CHARGES IN TRIAL BY JUDGE.

Disclosure 2 of 3

Reporting Source: Individual

Court Details: POLICE DEPT. NORTH BEND,OR.
MB 852550

Charge Date: 03/31/1986

Charge Details: CHARGE: SEXUAL ABUSE 2ND DEGREE, THEFT 2ND DEGREE, OFFICIAL MISCONDUCT 2ND DEGREE
MISDEMEANOR CHARGE
CONVICTION: OFFICIAL MISCONDUCT MISDEMEANOR. PLEA OF GUILTY ENTERED.



NOT GUILTY ON OTHER CHARGES

Felony? No

Current Status: Final

Status Date: 05/20/1986

Disposition Details: ACQUITTED: CHARGE OF SEXUAL ABUSE 2ND DEGREE, THEFT 2ND DEGREE

CONVICTED OFFICIAL MISCONDUCT, MISDEMEANOR., SERVED 60 DAYS IN COOS COUNTY JAIL. RELEASED AFTER 31 DAYS FOR GOOD BEHAVIOR/WORK PROGRAM PARTICIPATION.

Broker Statement I WAS MADE 5 LONG DISTANCE TELEPHONE CALLS TO A FORMER STUDENT ATTENDING COLLEGE. I FAILED TO REPAY THE SCHOOL DISTRICT \$5.60 IN CHARGES. DA PROSECUTED FOR THE MISUSE OF PROPERTY AND INAPPROIATE BEHAVIOR.

Disclosure 3 of 3

Reporting Source: Individual

Court Details: DISTRICT ATTORNEY COOS COUNTY OREGON PAUL BURGETT
86-311

Charge Date: 02/19/1986

Charge Details: SEXUAL ABUSE-RAPE-SODOMY-FELONY

Felony? Yes

Current Status: Final

Status Date: 05/08/1986

Disposition Details: CONVICTED:05/08/1986
FELONY - 5 YEARS SUSPENDED SENTENCE-PROBATION-\$5,400 & RESTITUTION MONTHLY REPORTING FEE \$10, PROBATION ENDED 06-01-1991, RESTITUTION PAID BY 11/1988

Broker Statement WAS INVOLVED WITH A FORMER STUDENT. SHE TOOK INVOLVEMENT TO D.A. HE FILED CHARGES INTENT WAS TO REMOVE ME FROM CLASSROOM DUE TO IMPROPER BEHAVIOR. I MADE A SERIOUS ERROR IN JUDGMENT AND A POOR CHOICE OF MORALS. I BELIEVE ENDING MY TEACHING CAREER AND MAKING MY LIFE PUBLIC WAS MORE SEVERE THAN THE RESTITUTION PAID. I HAVE NOT HAD ANY SUCH INVOLVEMENTS SINCE THAT TIME.



End of Report

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