



## IAPD Report

# JEFFREY LANE GRIZZARD

CRD# 2595087

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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

### JEFFREY LANE GRIZZARD (CRD# 2595087)

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 **08/29/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	CRD# 20472	02/23/2008
<b>IA</b>	ADVICE AND PLANNING SERVICES	CRD# 20472	12/02/2011

### 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
<b>B</b>	E*TRADE SECURITIES LLC	29106	DALLAS, TX	08/30/2007 - 02/27/2008
<b>B</b>	CHASE INVESTMENT SERVICES CORP.	25574	GARLAND, TX	06/21/2007 - 08/22/2007
<b>B</b>	CHARLES SCHWAB & CO., INC.	5393	PLANO, TX	01/23/2001 - 06/12/2007

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

### Employment 1 of 1

Firm Name: **ADVICE AND PLANNING SERVICES**  
Main Address: 730 THIRD AVENUE  
NEW YORK, NY 10017-3206  
Firm ID#: 20472

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	02/23/2008
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	02/23/2008
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	02/23/2008
<b>B</b> Alabama	Agent	Approved	02/23/2008
<b>B</b> Alaska	Agent	Approved	02/23/2008
<b>B</b> Arizona	Agent	Approved	02/23/2008
<b>B</b> Arkansas	Agent	Approved	02/23/2008
<b>B</b> California	Agent	Approved	02/23/2008
<b>B</b> Colorado	Agent	Approved	02/23/2008
<b>B</b> Connecticut	Agent	Approved	02/23/2008
<b>B</b> Delaware	Agent	Approved	02/23/2008
<b>B</b> District of Columbia	Agent	Approved	02/23/2008
<b>B</b> Florida	Agent	Approved	02/23/2008



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Georgia	Agent	Approved	02/23/2008
<b>B</b> Hawaii	Agent	Approved	02/23/2008
<b>B</b> Idaho	Agent	Approved	02/23/2008
<b>B</b> Illinois	Agent	Approved	02/23/2008
<b>B</b> Indiana	Agent	Approved	02/23/2008
<b>B</b> Iowa	Agent	Approved	02/23/2008
<b>B</b> Kansas	Agent	Approved	02/23/2008
<b>B</b> Kentucky	Agent	Approved	02/23/2008
<b>B</b> Louisiana	Agent	Approved	02/23/2008
<b>B</b> Maine	Agent	Approved	02/23/2008
<b>B</b> Maryland	Agent	Approved	02/23/2008
<b>B</b> Massachusetts	Agent	Approved	02/23/2008
<b>B</b> Michigan	Agent	Approved	02/23/2008
<b>B</b> Minnesota	Agent	Approved	02/23/2008
<b>B</b> Mississippi	Agent	Approved	02/23/2008
<b>B</b> Missouri	Agent	Approved	02/23/2008
<b>B</b> Montana	Agent	Approved	02/23/2008
<b>B</b> Nebraska	Agent	Approved	02/23/2008
<b>B</b> Nevada	Agent	Approved	02/23/2008



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> New Hampshire	Agent	Approved	02/23/2008
<b>B</b> New Jersey	Agent	Approved	02/23/2008
<b>B</b> New Mexico	Agent	Approved	02/23/2008
<b>B</b> New York	Agent	Approved	02/23/2008
<b>B</b> North Carolina	Agent	Approved	02/23/2008
<b>B</b> North Dakota	Agent	Approved	02/23/2008
<b>B</b> Ohio	Agent	Approved	02/23/2008
<b>B</b> Oklahoma	Agent	Approved	02/23/2008
<b>B</b> Oregon	Agent	Approved	02/23/2008
<b>B</b> Pennsylvania	Agent	Approved	02/23/2008
<b>B</b> Puerto Rico	Agent	Approved	02/21/2024
<b>B</b> Rhode Island	Agent	Approved	02/23/2008
<b>B</b> South Carolina	Agent	Approved	02/23/2008
<b>B</b> South Dakota	Agent	Approved	02/23/2008
<b>B</b> Tennessee	Agent	Approved	02/23/2008
<b>B</b> Texas	Agent	Approved	02/23/2008
<b>IA</b> Texas	Investment Adviser Representative	Approved	12/02/2011
<b>B</b> Utah	Agent	Approved	02/23/2008
<b>B</b> Vermont	Agent	Approved	02/23/2008



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Virgin Islands	Agent	Approved	08/29/2025
<b>B</b> Virginia	Agent	Approved	02/23/2008
<b>B</b> Washington	Agent	Approved	02/23/2008
<b>B</b> West Virginia	Agent	Approved	02/23/2008
<b>B</b> Wisconsin	Agent	Approved	02/23/2008
<b>B</b> Wyoming	Agent	Approved	02/23/2008

### Branch Office Locations

**ADVICE AND PLANNING SERVICES**  
3965 Dallas Parkway  
Frisco Hub  
Frisco, TX 75034

**ADVICE AND PLANNING SERVICES**  
Mesquite, TX





## 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, 3 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/30/2004
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/29/2004

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/09/1996
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/16/1995

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/29/2011
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/16/1995

### 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	08/30/2007 - 02/27/2008	E*TRADE SECURITIES LLC	CRD# 29106	DALLAS, TX
B	06/21/2007 - 08/22/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	GARLAND, TX
B	01/23/2001 - 06/12/2007	CHARLES SCHWAB & CO., INC.	CRD# 5393	PLANO, TX
B	11/22/1995 - 09/29/2000	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	SMITHFIELD, RI
B	03/17/1995 - 09/25/1995	G. R. PHELPS & CO., INC.	CRD# 173	

### 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
02/2008 - Present	TIAA	Senior Customer Advocate - Brokerage	Y	Frisco, TX, United States
02/2008 - Present	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Frisco, TX, 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
Criminal	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:** TEXAS STATE SECURITIES BOARD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 02/26/1996

**Docket/Case Number:** CEN-1084

**Employing firm when activity occurred which led to the regulatory action:** G. R. PHELPS & CO., INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** Not Provided

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 02/26/1996

**Sanctions Ordered:** Censure

**Other Sanctions Ordered:**

**Sanction Details:** ON FEBRUARY 26, 1996, THE SECURITIES COMMISSIONER ENTERED A CONSENT ORDER AGAINST JEFFREY LANE GRIZZARD. IN FILLING OUT AN APPLICATION TO BECOME REGISTERED AS AN AGENT OF



G.R. PHELPS & CO., INC., RESPONDENT FAILED TO DISCLOSE THAT HE HAD BEEN CHARGED WITH ATTEMPTED BURGLARY OF A VEHICLE. THE ORDER OF REPRIMAND WAS ISSUED PURSUANT TO SECTION 14 OF THE SECURITIES ACT.

**Regulator Statement**

CONTACT: JOYCE MILLER (512) 304-8390

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**Reporting Source:**

Individual

**Regulatory Action Initiated By:**

STATE OF TEXAS SECURITIES BOARD

**Sanction(s) Sought:**

Reprimand

**Other Sanction(s) Sought:**

**Date Initiated:**

01/04/1996

**Docket/Case Number:**

96-007

**Employing firm when activity occurred which led to the regulatory action:**

FIDELITY INVESTMENTS

**Product Type:**

Mutual Fund(s)

**Other Product Type(s):**

**Allegations:**

WHILE WORKING FOR CONNECTICUT MUTUAL,I FAILED TO DISCLOSE PREVIOUS CRIMINAL ( INFORMATION ON 23B) INFORMATION ON MY U-4. WHILE WORKING AT FIDELITY, I RECIEVED A LETTER FROM THE STATE OF TEXAS SECURITIES BOARD CONCERNING THE NON-DISCLOUSER. I SUBMITTED A LETTER OF EXPLANTION

**Current Status:**

Final

**Resolution:**

Consent

**Resolution Date:**

01/30/1996

**Sanctions Ordered:**

Censure

**Other Sanctions Ordered:**

**Sanction Details:**

NO RESTRICTIONS, FINES OR PENALTIES OF ANY KIND.

**Broker Statement**

RECEIVED LETTER DATED APPROX. JAN,1996 FROM TEXAS STATE SECURITIES BOARD THAT MY LETTER OF EXPLANATION HAD BEEN RECEIVED AND ACCEPTED. RECOMMENDATION WAS THAT I BE GRANTED REGISTRATION SUBJECT TO A REPRIMAND.



## 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 1

**Reporting Source:** Individual

**Court Details:** SHERIFF'S OFFICE, DALLAS TEXAS - AGENCY CASE #324086. CASE NUMBER #F7815820H

**Charge Date:** 03/01/1979

**Charge Details:** 1 CHARGE OF ATTEMPTED BURGLARY OF VEHICLE. IT IS MY UNDERSTANDING THAT THIS WAS A MISDEMEANOR. MY PLEA WAS NOT GUILTY.

**Felony?** No

**Current Status:** Final

**Status Date:** 03/29/1979

**Disposition Details:** CASE WAS DISMISSED ON 3/29/79

**Broker Statement** THE CHARGE WAS A FALSE CHARGE. I WAS WALKING WITH 2 FRIENDS DOWN THE STREET WHEN ONE FRIEND WENT OVER TO LOOK AT A PARKED VEHICLE. UNKNOWN TO ME, THE OWNER OF THE VEHICLE HAD BEEN HAVING PROBLEMS WITH THEFT AND/OR VANDALISM. THE OWNER WAS HIDING IN SOME BUSHES WITH A GUN AND BEGAN YELLING AND FIRED HIS GUN AT US. I RAN TO MY CAR AND WENT HOME. THE NEXT DAY EITHER AN OFFICER CAME BY MY HOUSE OR CALLED ME AND I WENT TO THE POLICE STATION. THE WNER FILED A CHARGE AGAINST ME, THEN LATER DROPPED THEM OR THEY WERE DISMISSED ON 3.29.79



## End of Report

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