



## IAPD Report

# GREGG CHRISTOPHE LA SPISA

CRD# 2636905

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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

### GREGG CHRISTOPHE LA SPISA (CRD# 2636905)

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 **05/23/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	EQUITABLE ADVISORS, LLC	CRD# 6627	08/01/1995
<b>IA</b>	EQUITABLE ADVISORS, LLC	CRD# 6627	11/24/1999

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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>	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	NEW YORK, NY	08/01/1995 - 01/05/2000

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	5



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

### Employment 1 of 1

Firm Name: **EQUITABLE ADVISORS, LLC**  
Main Address: 1345 AVENUE OF THE AMERICAS  
NEW YORK, NY 10105  
Firm ID#: 6627

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	08/01/1995
<b>B</b>	FINRA	General Securities Representative	Approved	09/03/1999
<b>B</b>	FINRA	General Securities Principal	Approved	07/28/2000
<b>B</b>	FINRA	Municipal Securities Principal	Approved	03/28/2003
<b>B</b>	FINRA	Municipal Securities Representative	Approved	03/28/2003
<b>B</b>	Alabama	Agent	Approved	03/29/2023
<b>B</b>	Arizona	Agent	Approved	04/30/2025
<b>IA</b>	Arizona	Investment Adviser Representative	Approved	05/02/2025
<b>B</b>	California	Agent	Approved	01/16/2020
<b>IA</b>	California	Investment Adviser Representative	Approved	01/28/2020
<b>B</b>	Colorado	Agent	Approved	06/23/2021
<b>IA</b>	Colorado	Investment Adviser Representative	Approved	06/28/2021
<b>B</b>	Florida	Agent	Approved	07/12/2021



### Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	07/20/2021
B Idaho	Agent	Approved	07/18/2023
B Illinois	Agent	Approved	08/01/1995
IA Illinois	Investment Adviser Representative	Approved	11/24/1999
B Indiana	Agent	Approved	02/19/2019
IA Indiana	Investment Adviser Representative	Approved	02/25/2019
B Kentucky	Agent	Approved	02/26/2019
IA Kentucky	Investment Adviser Representative	Approved	02/27/2019
B Missouri	Agent	Approved	09/27/2024
IA Missouri	Investment Adviser Representative	Approved	09/27/2024
IA Nevada	Investment Adviser Representative	Approved	05/01/2025
B Nevada	Agent	Approved	05/06/2025
B Ohio	Agent	Approved	08/18/2005
IA Ohio	Investment Adviser Representative	Approved	05/16/2007
B Pennsylvania	Agent	Approved	01/15/2020
IA Pennsylvania	Investment Adviser Representative	Approved	01/28/2020
B South Carolina	Agent	Approved	05/06/2025
IA South Carolina	Investment Adviser Representative	Approved	05/06/2025
B Wisconsin	Agent	Approved	03/08/2018



## Qualifications

Regulator	Registration	Status	Date
IA Wisconsin	Investment Adviser Representative	Approved	03/12/2018

### Branch Office Locations

**EQUITABLE ADVISORS, LLC**  
2050 MAIN STREET, SUITE 500  
IRVINE, CA 92614





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



#### Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	03/26/2003
 General Securities Principal Examination (S24)	Series 24	07/27/2000

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/02/1999
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/31/1995

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/23/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/31/1995

### 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>B</b>	08/01/1995 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

### 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
09/1999 - Present	EQUITABLE ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
09/1999 - 06/2020	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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
Customer Dispute	5

### 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 5

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** AXA ADVISORS

**Allegations:** CLIENT ALLEGES HIS AGENT MISREPRESENTED THE SALE OF A 2007 VARIABLE ANNUITY CONTRACT BY NOT DISCLOSING THE EXPENSES OR SURRENDER FEES. CLIENT FURTHER ALLEGES HE RECEIVED A 1099-R WHICH SHOWED FEDERAL TAX WITHHOLDING WHEN HE INITIALLY ROLLED OVER AN EXISTING IRA INTO THIS NEWLY ESTABLISHED ANNUITY CONTRACT. CLIENT IS REQUESTING THE FIRM TO SURRENDER THE CONTRACT WITHOUT THE IMPOSITION OF A SURRENDER CHARGE AND TO BE REIMBURSED FOR THE \$4,053 LOST DUE TO STATE AND FEDERAL TAXES.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 04/17/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/28/2008

**Settlement Amount:**

**Individual Contribution Amount:**

THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT

**Broker Statement**

THE FIRM FOUND NO BASIS TO THE CUSTOMER'S COMPLAINT.

**Disclosure 2 of 5****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

AXA ADVISORS

**Allegations:**

CLIENT ALLEGES HE WAS MISLED ON THE PURCHASE OF A 2004 VARIABLE LIFE INSURANCE POLICY. CLIENT ALLEGES HE TRANSFERRED AN EXISTING WHOLE LIFE POLICY INTO THIS NEW VARIABLE POLICY BASED UPON THE RECOMMENDATION OF THE AGENT. CLIENT ALLEGES THE AGENT NEVER SPOKE OF THE COSTS THAT WERE IN ADDITION TO THE INSURANCE. DAMAGES ARE UNSPECIFIED.

**Product Type:**

Insurance

**Alleged Damages:**

\$0.00

**Customer Complaint Information****Date Complaint Received:**

10/21/2005

**Complaint Pending?**

No

**Status:**

Settled

**Status Date:**

12/22/2005

**Settlement Amount:**

\$59.41

**Individual Contribution Amount:**

\$0.00

**Broker Statement**

IN A GOOD FAITH EFFORT, THE FIRM AGREED TO RETROACTIVELY ALLOCATE THE CLIENT'S INVESTMENT OPTIONS IN ACCORDANCE WITH THE TRANSACTION REQUESTED AS OF SEPTEMBER 21, 2004.

**Disclosure 3 of 5****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

AXA ADVISORS

**Allegations:**

THE CLIENT ALLEGES THAT EARLY IN 2004 HE INFORMED THE REPRESENTATIVE THAT HE WAS LOOKING FOR A NO RISK INVESTMENT AND WOULD MOST LIKELY NEED TO USE THE INVESTED FUNDS IN LESS THAN 1 YEAR. THE CLIENT STATES THAT HE WILL INCUR A PENALTY IF HE ATTEMPTS TO WITHDRAW THE INVESTED FUNDS IN THAT TIMEFRAME. THE CLIENT FURTHER ALLEGES THAT THE REPRESENTATIVE DID NOT UNDERSTAND THE PRODUCT HE WAS SELLING OR WAS MALICIOUS IN HOPES OF A LARGE PERSONAL MONETARY GAIN. THE CLIENT DID NOT SPECIFY DAMAGES.

**Product Type:**

Mutual Fund(s)

**Alleged Damages:**

\$0.00

**Customer Complaint Information****Date Complaint Received:**

05/20/2004



<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	07/27/2004
<b>Settlement Amount:</b>	\$4,565.81
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	THE FIRM'S REVIEW FOUND THAT THE CLIENT'S COMPLAINT HAD NO BASIS. HOWEVER, IN GOOD FAITH, THE FIRM AGREED TO REIMBURSE THE \$4,565.81 IN MARKET LOSSES THAT THE CLIENT INCURRED IN THE INVESTMENT.

**Disclosure 4 of 5**

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	AXA-ADVISORS
<b>Allegations:</b>	THE CLIENT ALLEGES THAT EARLY IN 2004 HE INFORMED THE REPRESENTATIVE THAT HE WAS LOOKING FOR A NO RISK INVESTMENT AND WOULD MOST LIKELY NEED TO USE THE INVESTED FUNDS IN LESS THAN 1 YEAR. THE CLIENT ALLEGES THAT THE REPRESENTATIVE DID NOT UNDERSTAND THE PRODUCT HE WAS SELLING OR WAS MALICIOUS IN HOPES OF A LARGE PERSONAL MONETARY GAIN. THE CLIENT FEELS THAT HE WAS MISLED THROUGH THE ENTIRE SALE. THE CLIENT DOES NOT SPECIFY DAMAGES.
<b>Product Type:</b>	Mutual Fund(s)
<b>Alleged Damages:</b>	\$0.00

**Customer Complaint Information**

<b>Date Complaint Received:</b>	05/20/2004
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	07/27/2004
<b>Settlement Amount:</b>	\$16,295.23
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	THE FIRM'S REVIEW FOUND THAT THE CLIENT'S COMPLAINT HAD NO BASIS. HOWEVER, IN GOOD FAITH, THE FIRM AGREED TO REIMBURSE THE \$16,295.23 IN MARKET LOSSES THAT THE CLIENT INCURRED IN THE INVESTMENT.

**Disclosure 5 of 5**

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	EQUITABLE LIFE
<b>Allegations:</b>	CLIENT ALLEGES FUNDS WERE TRANSFERRED INTO AN EXISTING VARIABLE



ANNUITY CONTRACT WITHOUT WRITTEN AUTHORIZATION. CLIENT REQUESTED THE REFUND OF \$29,000 PLUS SALES CHARGES.

**Product Type:** Annuity(ies) - Variable  
**Alleged Damages:** \$29,000.00

**Customer Complaint Information**

**Date Complaint Received:** 07/30/2001  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 10/26/2001  
**Settlement Amount:** \$6,563.48  
**Individual Contribution Amount:** \$0.00

**Broker Statement** EQUITABLE FOUND NO BASIS TO REFUND PREMIUMS, BUT AGREED TO SURRENDER THE POLICIES WITHOUT IMPOSING A SURRENDER CHARGE. THIS RESULTED IN A LOSS OF \$6,563.48.



## End of Report

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