



IAPD Report

John Alan Grosshans

CRD# 2664848

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7



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>



Report Summary

John Alan Grosshans (CRD# 2664848)

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 **03/11/2026**.

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 **27** 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	U.S. BANCORP INVESTMENTS, INC.	17868	Bremerton, WA	05/21/2010 - 02/13/2026
B	U.S. BANCORP INVESTMENTS, INC.	17868	Bremerton, WA	05/04/2010 - 02/13/2026
B	CHASE INVESTMENT SERVICES CORP.	25574	TACOMA, WA	05/02/2009 - 04/20/2010

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	9
Termination	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 **27** 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 Representative	Approved	02/13/2026
B Alaska	Agent	Approved	02/13/2026
B Arizona	Agent	Approved	02/13/2026
B California	Agent	Approved	02/13/2026
B Colorado	Agent	Approved	02/13/2026
B Florida	Agent	Approved	02/17/2026
B Georgia	Agent	Approved	02/13/2026
B Idaho	Agent	Approved	02/13/2026
B Illinois	Agent	Approved	02/13/2026
B Indiana	Agent	Approved	02/13/2026
B Iowa	Agent	Approved	02/13/2026
B Maryland	Agent	Approved	02/13/2026
B Minnesota	Agent	Approved	02/13/2026



Qualifications

Regulator	Registration	Status	Date
B Montana	Agent	Approved	02/13/2026
B Nevada	Agent	Approved	02/13/2026
B New Mexico	Agent	Approved	02/13/2026
B New York	Agent	Approved	02/13/2026
B North Carolina	Agent	Approved	02/13/2026
B North Dakota	Agent	Approved	02/13/2026
B Ohio	Agent	Approved	02/13/2026
B Oklahoma	Agent	Approved	02/13/2026
B Oregon	Agent	Approved	02/13/2026
B South Dakota	Agent	Approved	02/13/2026
B Texas	Agent	Approved	02/13/2026
IA Texas	Investment Adviser Representative	Restricted Approval	02/13/2026
B Utah	Agent	Approved	02/13/2026
B Vermont	Agent	Approved	02/13/2026
B Virginia	Agent	Approved	02/13/2026
B Washington	Agent	Approved	02/13/2026
IA Washington	Investment Adviser Representative	Approved	02/13/2026

Branch Office Locations

U.S. BANCORP ADVISORS, LLC



Qualifications

19245 10th Ave NE
Poulsbo, WA 98370

U.S. BANCORP ADVISORS, LLC
3916 N 26th St
Tacoma, WA 98407

U.S. BANCORP ADVISORS, LLC
7101 Stinson Ave
Gig Harbor, WA 98335

U.S. BANCORP ADVISORS, LLC
1239 Water St
Port Townsend, WA 98368

U.S. BANCORP ADVISORS, LLC
134 E Seventh
Port Angeles, WA 98362

U.S. BANCORP ADVISORS, LLC
2020 6th St
Bremerton, WA 98337

U.S. BANCORP ADVISORS, LLC
101 W Washington
Sequim, WA 98382

U.S. BANCORP ADVISORS, LLC
6723 S 19th St
Tacoma, WA 98466



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




Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.



General Industry/Product Exams

Exam	Category	Date
------	----------	------

 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	12/30/1997
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/24/1995

State Securities Law Exams

Exam	Category	Date
------	----------	------

 Uniform Investment Adviser Law Examination (S65)	Series 65	12/21/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/26/1995

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
IA	05/21/2010 - 02/13/2026	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	Bremerton, WA
B	05/04/2010 - 02/13/2026	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	Bremerton, WA
B	05/02/2009 - 04/20/2010	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	TACOMA, WA
IA	05/02/2009 - 04/20/2010	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	TACOMA, WA
IA	02/02/2007 - 05/02/2009	WAMU INVESTMENTS, INC.	CRD# 599	TACOMA, WA
B	01/01/1998 - 05/02/2009	WAMU INVESTMENTS, INC.	CRD# 599	TACOMA, WA
B	10/25/1995 - 05/03/1996	MURPHEY FAVRE, INC.	CRD# 599	IRVINE, CA

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	Gig Harbor, WA, United States
04/2010 - 02/2026	U.S. Bancorp Investments, Inc.	Wealth Management Advisor	Y	Gig Harbor, WA, 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	9
Termination	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 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	U.S. BANCORP INVESTMENTS, INC.
Allegations:	Customer alleges that two transactions were executed on his behalf, which he believes to be inappropriate given his investment objectives.
Product Type:	CD
Alleged Damages:	\$7,000.00
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:	12/24/2024
Complaint Pending?	No
Status:	Denied
Status Date:	03/24/2025
Settlement Amount:	
Individual Contribution Amount:	

**Disclosure 2 of 9**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: U.S. Bancorp Investments Inc.

Allegations: Customer alleges the investment was inappropriate and contrary to the stated goal and instructions.

Product Type: Mutual Fund

Alleged Damages: \$9,877.74

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: 08/24/2015

Complaint Pending? No

Status: Denied

Status Date: 09/18/2015

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP

Allegations: CLIENT ALLEGES SUITABILITY AND MISREPRESENTATION REGARDING A UIT INVESTMENT. ACTIVITY DATES 08/12/2008-08/12/2008.

Product Type: Unit Investment Trust

Alleged Damages: \$75,000.00

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: 11/13/2009

Complaint Pending? No

Status: Denied

Status Date: 01/04/2010



Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING ON A DEBT-CORPORATE PRODUCT. ACTIVITY DATES 06/23/2009-06/25/2009.

Product Type: Debt-Corporate

Alleged Damages: \$5,000.00

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: 07/18/2009

Complaint Pending? No

Status: Settled

Status Date: 01/05/2010

Settlement Amount: \$36,672.30

Individual Contribution Amount: \$0.00

Disclosure 5 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WM FINANCIAL SERVICES, INC.

Allegations: CLIENT ALLEGES REGISTERED REPRESENTATIVE DID NOT PROPERLY EXPLAIN THE WITHDRAWAL PRIVILEGES. THUS INCURRED A SURRENDER CHARGE ON FUNDS LIQUIDATED IN A VARIABLE ANNUITY PURCHASED IN OCTOBER 2003.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$6,727.15

Customer Complaint Information

Date Complaint Received: 12/17/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 02/04/2005

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

CLIENT DID NOT ACCEPT GOODWILL SETTLEMENT OFFER WITHIN PRESCRIBED TIMEFRAME.

Disclosure 6 of 9**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

WM FINANCIAL SERVICES, INC.

Allegations:

CLIENT ALLEGES HE PAID DOUBLE FEES AND EXPERIENCED A LOSS IN HIS MUTUAL FUND PURCHASE IN NOVEMBER 1999.

Product Type:

Mutual Fund(s)

Alleged Damages:

\$50,682.00

Customer Complaint Information**Date Complaint Received:**

03/03/2004

Complaint Pending?

No

Status:

Denied

Status Date:

04/12/2004

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

TRADES APPEAR SUITABLE; ALL DOCUMENTS APPEAR TO BE IN GOOD ORDER; FULL AND FAIR DISCLOSURES APPEARS TO HAVE BEEN MADE; ALL FEES APPEAR TO BE APPROPRIATE.

Disclosure 7 of 9**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

WM FINANCIAL SERVICES, INC.

Allegations:

CLIENT ALLEGES UNAUTHORIZED PURCHASE OF STOCK IN HIS ACCOUNT. CLIENT ALSO ALLEGES FINANCIAL CONSULTANT PURCHASED THE WRONG MUTUAL FUND.

Product Type:

Equity Listed (Common & Preferred Stock)

Other Product Type(s):

MUTUAL FUNDS

Alleged Damages:

\$20,000.00

Customer Complaint Information**Date Complaint Received:**

04/20/2000

Complaint Pending?

No

Status:

Settled



Status Date: 05/20/2002
Settlement Amount: \$3,000.00
Individual Contribution Amount: \$3,000.00
Broker Statement SETTLED AS A GOODWILL GESTURE. IT APPEARS THE CLIENT IS AN EXPERIENCE INVESTOR. CONSIDERING THE LAPSE IN TIME BETWEEN THE PURCHASES MADE AND WHEN THE COMPLAINT WAS FILED, IT APPEARS THE COMPAINT COMES ONLY AFTER THE DECLINE IN THE VALUE OF THE EQUITIES. INFORMATION AND DOCUMENTATION IN FILE INDICATES WHAT TRANSACTIONS WERE AUTHORIZED.

Disclosure 8 of 9

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WM FINANCIAL SERVICES, INC.
Allegations: CLIENT ALLEGES SHE WANTED A CERTIFICATE OF DEPOSIT AND NOT AN ANNUITY. DATE OF PURCHASE 6/14/2000.
Product Type: Annuity(ies) - Variable
Alleged Damages: \$5,250.00

Customer Complaint Information

Date Complaint Received: 08/17/2000
Complaint Pending? No
Status: Denied
Status Date: 10/18/2000
Settlement Amount:
Individual Contribution Amount:
Broker Statement CLIENT WANTED TO "FREE LOOK" ANNUITY CONTRACT AFTER 30 DAY WINDOW AND NOT INCURR PENALTY. CLAIM WAS DENIED, ALL PAPERWORK IN GOOD ORDER. TRADE APPEARS SUITABLE.

Disclosure 9 of 9

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WM FINANCIAL SERVICES, INC.
Allegations: CLIENT ALLEGES THE REPRESENTATIVE INFORMED THEM THAT THEY HAD A 30 DAY FREE LOOK ON MUTUAL FUND PURCHASES, CLIENT WANTED TO CANCEL AFTER 20 DAYS REPRESENTATIVE INFORMED CLIENT THAT THERE WOULD BE FEES TO DO SO.
Product Type: Mutual Fund(s)
Alleged Damages: \$19,647.76

Customer Complaint Information



Date Complaint Received:	11/29/2000
Complaint Pending?	No
Status:	Settled
Status Date:	01/31/2001
Settlement Amount:	\$19,647.76
Individual Contribution Amount:	\$6,549.25



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: CHASE INVESTMENT SERVICES CORP
Termination Type: Voluntary Resignation
Termination Date: 04/19/2010
Allegations: REGISTERED REP RESIGNED UNDER INVESTIGATION OF ALLEGATIONS THAT REGISTERED REP ENGAGED IN AND SOLICITED NON SECURITIES RELATED PERSONAL TRANSACTIONS WITH A CUSTOMER.
Product Type: No Product

Reporting Source: Individual
Firm Name: CHASE INVESTMENT SERVICES CORP
Termination Type: Voluntary Resignation
Termination Date: 04/19/2010
Allegations: FIRM ALLEGES REGISTERED REPRESENTATIVE RESIGNED UNDER INVESTIGATIONS OF ALLEGATIONS THAT REGISTERED REP ENGAGED IN AND SOLICITED NON SECURITIES RELATED PERSONAL TRANSACTIONS WITH A CUSTOMER
Product Type: No Product



End of Report

This page is intentionally left blank.