



IAPD Report

GREGORY BRIAN STEISLINGER

CRD# 2739541

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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

GREGORY BRIAN STEISSLINGER (CRD# 2739541)

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 **05/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	08/21/2025
IA	LPL FINANCIAL LLC	CRD# 6413	08/21/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **30** 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	FIRST HORIZON ADVISORS, INC	17117	MORRISTOWN, TN	10/10/2013 - 08/21/2025
B	FIRST HORIZON ADVISORS, INC.	17117	MORRISTOWN, TN	01/28/2009 - 08/21/2025
IA	FTB ADVISORS, INC.	143830	MEMPHIS, TN	07/16/2008 - 10/10/2013

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	08/21/2025
B	FINRA	General Securities Representative	Approved	08/21/2025
B	FINRA	Municipal Securities Representative	Approved	08/21/2025
B	Alabama	Agent	Approved	08/21/2025
B	Arizona	Agent	Approved	12/12/2025
B	California	Agent	Approved	08/21/2025
B	Colorado	Agent	Approved	08/21/2025
B	Connecticut	Agent	Approved	08/21/2025
B	Florida	Agent	Approved	08/22/2025
B	Georgia	Agent	Approved	08/21/2025
B	Indiana	Agent	Approved	08/21/2025
B	Iowa	Agent	Approved	08/21/2025
B	Kansas	Agent	Approved	09/15/2025



Qualifications

Regulator	Registration	Status	Date
B Kentucky	Agent	Approved	08/21/2025
B Louisiana	Agent	Approved	08/21/2025
IA Louisiana	Investment Adviser Representative	Approved	08/21/2025
B Maryland	Agent	Approved	08/21/2025
B Massachusetts	Agent	Approved	08/21/2025
B Minnesota	Agent	Approved	08/21/2025
B Mississippi	Agent	Approved	08/21/2025
B Missouri	Agent	Approved	09/15/2025
B Nevada	Agent	Approved	05/12/2026
B New York	Agent	Approved	08/21/2025
B North Carolina	Agent	Approved	08/21/2025
B Ohio	Agent	Approved	08/21/2025
B Oklahoma	Agent	Approved	08/21/2025
B Pennsylvania	Agent	Approved	08/21/2025
B South Carolina	Agent	Approved	08/21/2025
B South Dakota	Agent	Approved	08/21/2025
B Tennessee	Agent	Approved	08/21/2025
IA Tennessee	Investment Adviser Representative	Approved	08/21/2025
B Texas	Agent	Approved	08/21/2025



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	08/21/2025
B Virginia	Agent	Approved	08/21/2025
B Washington	Agent	Approved	08/21/2025
B West Virginia	Agent	Approved	08/21/2025

Branch Office Locations

LPL FINANCIAL LLC
300 E MAIN ST
SEVIERVILLE, TN 37862

LPL FINANCIAL LLC
1032 WEST 1ST NORTH STREET
MORRISTOWN, TN 37814




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, 4 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	10/20/2003

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/29/1999
	Municipal Securities Representative Examination (S52)	Series 52	05/16/1996

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/04/1999

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	10/10/2013 - 08/21/2025	FIRST HORIZON ADVISORS, INC	CRD# 17117	MORRISTOWN, TN
B	01/28/2009 - 08/21/2025	FIRST HORIZON ADVISORS, INC.	CRD# 17117	MORRISTOWN, TN
IA	07/16/2008 - 10/10/2013	FTB ADVISORS, INC.	CRD# 143830	MEMPHIS, TN
IA	01/28/2009 - 03/30/2012	FTB ADVISORS, INC.	CRD# 17117	MORRISTOWN, TN
IA	03/12/2004 - 01/15/2009	FTB ADVISORS, INC.	CRD# 17117	MORRISTOWN, TN
B	02/27/1999 - 01/15/2009	FIRST TENNESSEE BROKERAGE, INC.	CRD# 17117	MORRISTOWN, TN

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
08/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	MORRISTOWN, TN, United States
10/2013 - Present	FTB ADVISORS, INC.	Mass Transfer	Y	MORRISTOWN, TN, United States
01/2009 - Present	FIRST TENNESSEE BROKERAGE	Employee/ Contractor	Y	MEMPHIS, TN, 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- 08/21/2025 - Investment products and services are offered through LPL Financial LLC using the DBA/trade name First Horizon Advisors - Investment Related - At reported Business Location(s) - Start Date 07/29/2025 - 160 hours per month/ during trading



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: FIRST HORIZON ADVISORS, INC.

Allegations: On November 13, 2024, an email was sent from the POA of a client which stated that the signature on his mother's annuity paperwork was not hers. He also claimed that the annuity was unsuitable because it was a 10-year product and had high fees. He had an additional claim regarding the length of time it took to have the POA assigned to the account. After a full review, it was determined that Mr. Steisslinger met with the POA to discuss the annuity. He then gave the paperwork to the POA in person and provided a FedEx return label for him to send it back after his mother signed it. The Firm located the tracking information which showed the signed documents were sent back from the POA. The POA was also mistaken about the term and attributes of the fixed annuity. It was a 5-year product, not a 10, and it had no fees, expenses, or trailing commissions. The initial reason for the delay of adding the POA to the account is due to the fact that his mother initially instructed the Firm to hold off on the POA. She later instructed the advisor to move forward.

Product Type: Annuity-Fixed

Alleged Damages: \$17,500.00

Alleged Damages Amount Explanation (if amount not exact): The initial premium on the annuity was \$194,212.00 with a surrender charge for year one of 9%. So to withdraw the full amount from the annuity would be roughly \$17,500.00

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: 11/13/2024

Complaint Pending? No

Status: Denied

Status Date: 12/12/2024

Settlement Amount:

Individual Contribution
Amount:

Broker Statement

The Firm found the claim to be completely false and it was denied. The Firm also found that the trade was suitable for the client and that no wrongdoing occurred on the part of Mr. Steisslinger.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: FIRST HORIZON ADVISORS, INC.

Allegations: The customer purchased a Jackson National Perspective II (B-Share) Variable Annuity on 1/28/21. A complaint was received by the firm on 3/21/22 stating that she believed the product was unsuitable for her. She alleged that it did not provide the income she needed and that too much of her money was tied up in the product so that she was unable to put a down payment on a home. She also claimed that at the time of the purchase she was in "deep grief and not capable of making sound financial decisions." Additionally, she alleged that the Rep did not disclose the commission he received from selling the product. An investigation was conducted by the firm, which found that the recommendation made by the rep was suitable based on the information provided. The client had stated that she needed \$5,000 per month to live and had no intentions of purchasing a home. The rider included with the annuity, along with her other sources of income provided this amount. She then moved to a high cost area and changed her lifestyle. She stated she began spending a lot of money with friends which she hadn't been planning on doing. The client had also been provided all information regarding the commission made on the product. This was included with the paperwork provided to her initially. The Rep also stated that she did not appear to be in deep grief or unable to make decisions. On the contrary, both the Rep and Client Specialist stated that the client was friendly, nice, outgoing and very pleased with the recommendations provided.

Product Type: Annuity-Variable

Alleged Damages: \$60,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** The client purchased a Jackson National Perspective II (B-Share) variable annuity for \$750,000. The client requested the firm pay all early withdrawal penalties and fees associated with the product. The product was closed or transferred to another broker dealer. Current Market Value is unknown.

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: 03/21/2022

Complaint Pending? No

Status: Denied

Status Date: 03/31/2022

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

The firm found the recommendation to be suitable and the customer's claim was denied.



End of Report

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