



IAPD Report

GREGORY LAMAR CLARK

CRD# 2831179

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 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

GREGORY LAMAR CLARK (CRD# 2831179)

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 **03/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024
IA	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	PRUCO SECURITIES, LLC.	5685	BIRMINGHAM, AL	10/29/2014 - 11/14/2024
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	Chelsea, AL	10/29/2014 - 11/14/2024
IA	INVESTMENT ADVISORS	15708	BIRMINGHAM, AL	04/17/2014 - 10/23/2014

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



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

Employment 1 of 1

Firm Name: **LPL ENTERPRISE, LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 8733

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/14/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	11/14/2024
B	Alabama	Agent	Approved	11/14/2024
IA	Alabama	Investment Adviser Representative	Approved	11/14/2024
B	Florida	Agent	Approved	11/25/2024
B	Georgia	Agent	Approved	11/14/2024
IA	Georgia	Investment Adviser Representative	Approved	03/31/2026
B	Illinois	Agent	Approved	11/14/2024
B	Maryland	Agent	Approved	11/14/2024
B	Mississippi	Agent	Approved	11/14/2024
IA	Mississippi	Investment Adviser Representative	Approved	11/14/2024
B	New Jersey	Agent	Approved	11/14/2024
B	North Carolina	Agent	Approved	11/14/2024



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	11/14/2024

Branch Office Locations

LPL ENTERPRISE, LLC
3343 PEACHTREE ROAD, N.E.
SUITE 700
ATLANTA, GA 30326



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
------	----------	------

Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	09/20/1997

State Securities Law Exams

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

Uniform Investment Adviser Law Examination (S65)	Series 65	11/07/2002
Uniform Securities Agent State Law Examination (S63)	Series 63	10/16/1997

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	10/29/2014 - 11/14/2024	PRUCO SECURITIES, LLC.	CRD# 5685	BIRMINGHAM, AL
IA	10/29/2014 - 11/14/2024	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	Chelsea, AL
IA	04/17/2014 - 10/23/2014	INVESTMENT ADVISORS	CRD# 15708	BIRMINGHAM, AL
B	03/31/2014 - 10/23/2014	PROEQUITIES, INC.	CRD# 15708	BIRMINGHAM, AL
IA	02/29/2008 - 04/04/2014	METLIFE SECURITIES INC.	CRD# 14251	BIRMINGHAM, AL
B	02/08/2008 - 04/04/2014	METLIFE SECURITIES INC.	CRD# 14251	BIRMINGHAM, AL
IA	12/13/2002 - 02/20/2008	EAGLE STRATEGIES LLC	CRD# 110826	BIRMINGHAM, AL
B	12/10/1999 - 02/20/2008	NYLIFE SECURITIES LLC	CRD# 5167	BIRMINGHAM, AL
B	10/09/1997 - 12/22/1999	SECURITIES CAPITAL CORPORATION	CRD# 22892	BIRMINGHAM, AL

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
11/2024 - Present	LPL ENTERPRISE, LLC	Mass Transfer	Y	Ridgeland, MS, United States
10/2014 - 11/2024	PRUCO SECURITIES, LLC.	REGISTERED REPRESENTATIVE	Y	Chelsea, AL, United States
10/2014 - 11/2024	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	FINANCIAL PROFESSIONAL	N	Chelsea, AL, United States



Registration & Employment History



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) 11/11/2024 - Alabama State University - Outside/W-2 Employment, Alabama State University VP of Institutional Advancement - Manage the Advancement Operations of Alabama State University to include marketing & communications, development and Alumni Relations - not investment related - 96 hrs/mth - start date: 08/01/22



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

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:	AL
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/13/1998
Docket/Case Number:	CD-98-0012
Employing firm when activity occurred which led to the regulatory action:	SECURITIES CAPITAL CORPORATION
Product Type:	
Other Product Type(s):	
Allegations:	ON FEBRUARY 13, 1996, A CEASE AND DESIST ORDER ALLEGING SECURITIES TRANSACTIONS WITHOUT BENEFIT OF REGISTRATION AND FAILURE TO PROPERLY SUPERVISE AGENTS WAS ISSUED TO SECURITIES CAPITAL CORPORATION, MICHAEL ANGELO JONES, JUANITA SMITH JONES, KEITH ANTONIO CARTER AND GREGORY LAMAR CLARK AFTER RECEIPT OF INFORMATION NASDR THAT DURING AN AUDIT OF THE DEALER, IT WAS DETERMINED THAT CARTER AND CLARK HAD EFFECTED A TOTAL OF 31 TRANSACTIONS IN THE ACCOUNTS OF 13 ALABAMA RESIDENTS AND ON APRIL 7, 1998 THE CEASE AND DESIST ORDER WAS RESOLVED BY CONSENT ORDER.
Current Status:	Final
Resolution:	Stipulation and Consent



Resolution Date: 04/07/1998
Sanctions Ordered:
Other Sanctions Ordered:
Sanction Details: ON APRIL 7, 1998 THE CEASE AND DESIST ORDER WAS RESOLVED BY CONSENT ORDER.
Regulator Statement SAME AS ALLEGATIONS CONTACT: JAMES G PUGH
334-242-2984

Reporting Source: Individual
Regulatory Action Initiated By: ALABAMA SECURITIES COMMISSION
Sanction(s) Sought: Cease and Desist
Other Sanction(s) Sought:
Date Initiated: 02/13/1998
Docket/Case Number: CD-98-0012
Employing firm when activity occurred which led to the regulatory action: SECURITIES CAPITAL CORPORATION
Product Type: Equity Listed (Common & Preferred Stock)
Other Product Type(s):
Allegations: NASD CRD DISCLOSED A DEFICIENT STATUS ON THE REGISTRATION FOR MR GREGORY CLARK IN THE STATE OF ALABAMA.
Current Status: Final
Resolution: Stipulation and Consent
Resolution Date: 04/07/1998

Sanctions Ordered:
Other Sanctions Ordered:
Sanction Details: NO FELONY, NO MISDEMEANOR, NO PENALTIES, NO FINES, NO PAYMENTS, NO SUSPENSIONS NO RETRICTIONS. THE ORDER ENTERED LIFTS AND REMOVES THE CEASE AND DESIST ORDER. MR GREGORY CLARK IS NOW REGISTERED WITH THE STATE OF ALABAMA SECURITIES COMMISSION.

Broker Statement ON 10/9/97, PROCESSING WAS COMPLETED FOR THE PAGE 1 OF THE U4 AND A WINDOW FOR THE SERIES 63 EXAMINATION WAS GRANTED TO MR GREGORY CLARK. THIS WINDOW WAS TO RUN FROM 10/9/97 TO 1/9/98. THE BASIS FOR WHICH THIS WINDOW WAS GRANTED WAS BASED ON PAGE 1 OF THE U4 WHERE WE HAD INDICATED NOT ONLY THE SERIES 63 EXAMINATION BUT ALSO AN ALABAMA REGISTRATION. I WSAS QUOTED A TOTAL PRICE BASED ON THIS REQUEST AND WE SENT THE PAGE 1 ALONG WITH THE APPROPRIATE FEES. IT WAS MUCH LATER THAT I WAS INFORMED THAT A DEFICIENCY EXISTED AND THAT ALL WE HAD TO DO TO CORRECT THIS MATTER WAS SEND CRD \$50 MORE, WHICH WE DID. MR CLARK WAS THEN IMMEDIATELY GRANTED HIS ALABAMA LICENSE.



End of Report

This page is intentionally left blank.