



## IAPD Report

# GREGORY PETER BRICK

CRD# 2842477

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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 PETER BRICK (CRD# 2842477)

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 **01/27/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	REGULUS FINANCIAL GROUP, LLC	CRD# 150631	06/14/2024
<b>IA</b>	REGAL INVESTMENT ADVISORS LLC	CRD# 125004	06/24/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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>IA</b>	CETERA INVESTMENT ADVISERS LLC	105644	OVIEDO, FL	04/04/2023 - 06/18/2024
<b>B</b>	CETERA ADVISOR NETWORKS LLC	13572	Oviedo, FL	01/22/2019 - 06/18/2024
<b>IA</b>	CETERA ADVISOR NETWORKS LLC	13572	Oviedo, FL	08/07/2020 - 06/29/2023

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
Financial	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 **16** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **REGULUS FINANCIAL GROUP, LLC**  
Main Address: 2687 44TH STREET, SE, SUITE 101  
KENTWOOD, MI 49512  
Firm ID#: 150631

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024
<b>B</b>	Alabama	Agent	Approved	06/14/2024
<b>B</b>	Arizona	Agent	Approved	09/11/2024
<b>B</b>	Arkansas	Agent	Approved	09/05/2024
<b>B</b>	Colorado	Agent	Approved	08/01/2024
<b>B</b>	Florida	Agent	Approved	06/14/2024
<b>B</b>	Georgia	Agent	Approved	06/14/2024
<b>B</b>	Illinois	Agent	Approved	03/11/2025
<b>B</b>	Indiana	Agent	Approved	08/02/2024
<b>B</b>	Kentucky	Agent	Approved	07/31/2024
<b>B</b>	Louisiana	Agent	Approved	01/07/2025
<b>B</b>	New York	Agent	Approved	01/07/2025
<b>B</b>	North Carolina	Agent	Approved	08/01/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> South Carolina	Agent	Approved	01/09/2025
<b>B</b> Tennessee	Agent	Approved	01/08/2025
<b>B</b> Texas	Agent	Approved	08/01/2024
<b>B</b> Virginia	Agent	Approved	06/26/2024

### Branch Office Locations

428 North Central Ave  
Oviedo, FL 32765

### Employment 2 of 2

Firm Name: **REGAL INVESTMENT ADVISORS LLC**  
 Main Address: 2687 44TH STREET SE  
 KENTWOOD, MI 49512  
 Firm ID#: 125004

Regulator	Registration	Status	Date
<b>IA</b> Florida	Investment Adviser Representative	Approved	06/24/2024

### Branch Office Locations

**REGAL INVESTMENT ADVISORS LLC**  
 428 North Central Ave  
 Oviedo, FL 32765



## 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, 2 general industry/product exams, and 1 state securities law exam.**



#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


#### General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/03/1997

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	10/14/2020
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Chartered Financial Consultant

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	04/04/2023 - 06/18/2024	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	OVIEDO, FL
B	01/22/2019 - 06/18/2024	CETERA ADVISOR NETWORKS LLC	CRD# 13572	Oviedo, FL
IA	08/07/2020 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	Oviedo, FL
B	11/21/2013 - 01/22/2019	QUESTAR CAPITAL CORPORATION	CRD# 43100	OVIEDO, FL
B	10/11/2007 - 11/25/2013	PLANMEMBER SECURITIES CORPORATION	CRD# 11869	WINTER SPRINGS, FL
B	06/30/2004 - 10/09/2007	ING FINANCIAL ADVISERS, LLC	CRD# 34815	WINTER SPRINGS, FL
B	05/04/1998 - 06/30/2004	ING FINANCIAL PARTNERS, INC.	CRD# 2882	WINDSOR, CT
B	05/09/1997 - 02/05/1998	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT

### 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
06/2024 - Present	Regal Investment Advisors, LLC	Investment Advisor Representative	Y	Kentwood, MI, United States
06/2024 - Present	Regulus Financial Group, LLC	Registered Representative	Y	Kentwood, MI, United States
11/2023 - Present	Brick Wealth Management LLC	Financial Professional	Y	Oviedo, FL, United States
03/2023 - 06/2024	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
01/2019 - 06/2024	CETERA ADVISOR NETWORKS LLC	REGISTERED REP/ INVESTMENT ADVISOR REP	Y	EL SEGUNDO, CA, United States
01/2011 - 06/2024	BRICK RETIREMENT GROUP, LLC	REPRESENTATIVE	Y	WINTER SPRINGS, FL, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2001 - 06/2024	BRICK & ASSOCIATES	VICE PRESIDENT	Y	WINTER SPRINGS, FL, United States
01/2001 - 06/2024	GREGORY BRICK, INDEPENDENT INSURANCE AGENT	REPRESENTATIVE	Y	WINTER SPRINGS, FL, United States
08/2022 - 01/2024	RED BRICK INSURANCE, LLC	PART OWNER	N	OVIEDO, FL, United States
01/2021 - 12/2022	STRYDE, LLC	STRYDE REPRESENTATIVE	N	FENTON, MI, United States
04/2012 - 12/2022	ORLANDO CITY YOUTH SOCCER	TECHNICAL DIRECTOR	N	WINTER SPRINGS, FL, United States
11/2013 - 01/2019	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
03/2017 - 11/2017	QUESTAR ASSET MANAGEMENT	IAR	Y	MINNEAPOLIS, MN, 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.

Business Name: Brick Wealth Management, LLC - Investment Related: Yes - Address: 428 North Central Ave, Oviedo, FL 32765 - Nature of Business: Registered Rep Activities through Regulus Financial Group, LLC using a DBA name; Investment Advisor Activities through Regal Investment Advisors, LLC using a DBA name; Insurance - Title or Relationship: Registered Representative; Investment Advisor Representative - Start Date: 11/01/2023 - Hours per month: 160 - Hours per month during trading hours: 130 - Duties: Provide financial services and insurance.

Business Name: Brick Retirement Group - Investment Related: Yes - Address: 434 North Central Ave, Oviedo, FL 32765 - Nature of Business: Spouse's Insurance Agency - Title or Relationship: Member - Start Date: 12/01/1996 - Hours per month: 0 - Hours per month during trading hours: 0 - Duties: None. This presents a conflict of interest because Mr. Brick has the incentive to recommend Brick Retirement Group due to the compensation received for the business conducted by Brick Retirement Group. You are under no obligation, contractually or otherwise, to purchase insurance products through Brick Retirement Group.

Business Name: Independent Insurance Agent - Investment Related: Yes - Address: 428 North Central Ave, Oviedo, FL 32765 - Nature of Business: Insurance - Title or Relationship: Insurance Agent - Start Date: 1/1/2019 - Hours per month: 0 - Hours per month during trading hours: 0 - Duties: Previously provided fixed insurance. Rep no longer sells fixed insurance but licensing is still maintained and individual receives residual income.

Business Name: Brick Family Revocable Trust - Investment Related: No - Address: 428 North Central Ave, Oviedo, FL 32765 - Nature of Business: Trust - Title or Relationship: Trustee - Start Date: 1/9/2011 - Hours per month: 4 - Hours per month during trading hours: 0 - Duties: Acts as trustee for Brick Family Revocable trust.

Business Name: MGM Holdings, LLC - Investment Related: No - Address: 428 North Central Ave, Oviedo, FL 32765 - Nature of Business: Holding Company for property - Title or Relationship: Owner - Start Date: 2/1/2017 - Hours per month: 4 - Hours per



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

month during trading hours: 4 - Duties: This entity owns 434 North Central Ave, Oviedo, FL.



## 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
Financial	1

### Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

#### Disclosure 1 of 1

**Reporting Source:** Individual

**Action Type:** short sale

**Action Date:** 07/01/2017

**Organization Investment-Related?**

**Action Pending?** No

**Disposition:** Satisfied/Released

**Disposition Date:** 07/01/2017

**If a compromise with creditor, provide:**

**Name of Creditor:** Suntrust Bank

**Original Amount Owed:** \$1,187,000.00

**Terms Reached with Creditor:** Creditor accepting the asking price offered by the buyer for the home of \$975,000.



## End of Report

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