



IAPD Report

GREGG CHARLES PARKER

CRD# 3051179

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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

GREGG CHARLES PARKER (CRD# 3051179)

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 **05/22/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	06/01/2023
IA	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	06/01/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	01/03/2017 - 06/01/2023
B	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	Whitinsville, MA	12/15/2016 - 06/01/2023
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	Whitinsville, MA	07/29/2016 - 12/15/2016

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
Customer Dispute	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 12 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **GENEOS WEALTH MANAGEMENT, INC.**
Main Address: 9635 MAROON CIRCLE
SUITE 100
ENGLEWOOD, CO 80112
Firm ID#: 120894

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/01/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	06/01/2023
B	FINRA	Investment Co./Variable Contracts Prin	Approved	06/01/2023
B	Arizona	Agent	Approved	07/12/2023
IA	Arizona	Investment Adviser Representative	Approved	07/19/2023
B	California	Agent	Approved	06/01/2023
B	Connecticut	Agent	Approved	06/01/2023
B	Florida	Agent	Approved	06/01/2023
IA	Florida	Investment Adviser Representative	Approved	06/02/2023
B	Maine	Agent	Approved	06/01/2023
IA	Maine	Investment Adviser Representative	Approved	06/02/2023
B	Massachusetts	Agent	Approved	07/06/2023
IA	Massachusetts	Investment Adviser Representative	Approved	07/06/2023



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	06/01/2023
IA North Carolina	Investment Adviser Representative	Approved	06/01/2023
B North Carolina	Agent	Approved	07/06/2023
B Rhode Island	Agent	Approved	06/01/2023
IA Rhode Island	Investment Adviser Representative	Approved	06/01/2023
B South Carolina	Agent	Approved	06/01/2023
B Tennessee	Agent	Approved	07/07/2023
B Vermont	Agent	Approved	06/01/2023

Branch Office Locations

GENEOS WEALTH MANAGEMENT, INC.

174 Church St
Whitinsville, MA 01588



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

Principal/Supervisory Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	09/21/2001

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/15/2008
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/07/1998

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	03/05/2012

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	01/03/2017 - 06/01/2023	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	12/15/2016 - 06/01/2023	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	Whitinsville, MA
B	07/29/2016 - 12/15/2016	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	Whitinsville, MA
B	02/22/2012 - 08/01/2016	INVESTORS CAPITAL CORP.	CRD# 30613	WHITINSVILLE, MA
IA	02/26/2014 - 09/24/2015	INVESTORS CAPITAL ADVISORY	CRD# 30613	WHITINSVILLE, MA
B	07/13/2001 - 02/22/2012	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	WHITINSVILLE, MA
B	09/02/1999 - 07/12/2001	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	08/10/1998 - 09/02/1999	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
06/2023 - Present	Geneos Wealth Management Inc.	Registered Rep / IAR	Y	Whitinsville, MA, United States
06/1990 - Present	RA Parker Ins. Inc DBA as Robert Parker Ins & Financial Services	DBA	N	WHITINSVILLE, MA, United States
12/2016 - 06/2023	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	HOLBROOK, NY, United States
07/2016 - 12/2016	Cambridge Investment Research Advisors, Inc.	Investment Adviser Representative	Y	Fairfield, IA, United States
07/2016 - 12/2016	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
02/2012 - 07/2016	INVESTORS CAPITAL CORP.	REGISTERED REP.	Y	LYNNFIELD, MA, 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) DBA: RA. Parker Insurance Inc, DBA Robert A. Parker Insurance and Financial Services - Agency Principal - Independent Rep with various insurance companies for FIXED INSURANCE SALES - start date - 06/1990 - non- Investment related - 40 HR/WK - 40/Trading. 3). Northbridge High School 171 Linwood Ave, Whitinsville MA - Varsity Assistant Football Coach. Start Date 9/2007. 40 hours devoted to this activity. 4) JAG Realty - owner of short term vacation rentals, non-investment related business, 50% ownership, 1-2 hours devoted to this activity - start date - 10/2020 - done at branch location. 5) Rekrap Realty LLC - Rental Income - non-investment related business done at branch location. 1 hour per month - start date 01/2008. 5) NOTARY PUBLIC.



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
Customer Dispute	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: Massachusetts

Sanction(s) Sought: Undertaking

Date Initiated: 01/27/2017

Docket/Case Number: R-2016-0058

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Allegations: Parker has been the subject of twelve (12) disclosure incidents, of which two (2) were customer complaints and ten (10) were Internal Revenue Service ("IRS") tax liens. The first customer complaint against Parker was filed in October 2004 and was dismissed. The second customer complaint against Parker was filed in November 2010. It alleged that Parker breached his fiduciary duty to his customer, a trust, and its beneficiary, as well as other related conduct that harmed the trust and beneficiary. The customer alleged compensatory damages of \$216,000, and the parties settled the matter for \$85,000. Parker has been the subject of ten (10) lien disclosure incidents reported to the CRD, alleging unpaid tax amounts owed to the IRS. Three (3) of these disclosure incidents were allegedly reported in error, and are related to other disclosed liens. Three (3) other liens for tax years since 2008 remain outstanding, totaling \$160,661.40. Parker has represented to the Division that he is gradually paying off these outstanding liens as part of an ongoing payment plan with the IRS. The above-stated disclosure incidents against



Parker have moved the Division to place conditions on his registration as an investment adviser representative of APA and a broker-dealer agent of APFS in Massachusetts.

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 01/27/2017

Sanctions Ordered: Undertaking
Other: The Division approved Parker's application for registration in Massachusetts as an agent of APFS and a representative of APA upon the conditions set forth below, which are effective for the shorter of five years from the date of the order, or until such time as Parker satisfies his currently unsatisfied liens: a) APFS and APA will periodically monitor Parker's personal credit in the manner set out in the Consent Order; b) should Parker become the subject of any written or oral customer complaint, any regulatory investigation, internal investigation, arbitration proceeding, or securities-related litigation concerning allegations arising from his conduct of securities business, APFS and APA shall notify the Director, in writing, within ten (10) business days of the event; c) Parker shall notify his supervisor of the following events, within five (5) business days of their occurrence, concerning allegations arising from his conduct of securities business, the receipt of any customer complaint, oral or written, the initiation of any arbitration proceeding, regulatory investigation, or securities-related litigation; d) Parker shall notify his supervisor of any inaccuracy in any representation made to the Division, or the breach of any provision of the undertakings and representations; and e) Parker shall submit to APFS, APA, and the Director an affidavit stating that he has fully complied with all conditions of the Order referenced in his undertakings, or, in the event that Parker cannot submit the required affidavit, he shall instead submit a statement explaining why.

Reporting Source: Individual
Regulatory Action Initiated By: Massachusetts

Sanction(s) Sought: Undertaking

Date Initiated: 01/27/2017

Docket/Case Number: R-2016-0058

Employing firm when activity occurred which led to the regulatory action: Investors Capital Corp.

Product Type: No Product

Allegations: Parker has been the subject of twelve (12) disclosure incidents, of which two (2) were customer complaints and ten (10) were Internal Revenue Service ("IRS") tax liens. The first customer complaint against Parker was filed in October 2004 and was dismissed. The second customer complaint against Parker was filed in November 2010. It alleged that Parker breached his fiduciary duty to his customer,



a trust, and its beneficiary, as well as other related conduct that harmed the trust and beneficiary. The customer alleged compensatory damages of \$216,000, and the parties settled the matter for \$85,000. Parker has been the subject of ten (10) lien disclosure incidents reported to the CRD, alleging unpaid tax amounts owed to the IRS. Three (3) of these disclosure incidents were allegedly reported in error, and are related to other disclosed liens. Three (3) other liens for tax years since 2008 remain outstanding, totaling \$160,661.40. Parker has represented to the Division that he is gradually paying off these outstanding liens as part of an ongoing payment plan with the IRS. The above-stated disclosure incidents against Parker have moved the Division to place conditions on his registration as an investment adviser representative of APA and a broker-dealer agent of APFS in Massachusetts.

Current Status:

Final

Resolution:

Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

01/27/2017

Sanctions Ordered:

Undertaking

Other: The Division approved Parker's application for registration in Massachusetts as an agent of APFS and a representative of APA upon the conditions set forth below, which are effective for the shorter of five years from the date of the order, or until such time as Parker satisfies his currently unsatisfied liens: a) APFS and APA will periodically monitor Parker's personal credit in the manner set out in the Consent Order; b) should Parker become the subject of any written or oral customer complaint, any regulatory investigation, internal investigation, arbitration proceeding, or securities-related litigation concerning allegations arising from his conduct of securities business, APFS and APA shall notify the Director, in writing, within ten (10) business days of the event; c) Parker shall notify his supervisor of the following events, within five (5) business days of their occurrence, concerning allegations arising from his conduct of securities business, the receipt of any customer complaint, oral or written, the initiation of any arbitration proceeding, regulatory investigation, or securities-related litigation; d) Parker shall notify his supervisor of any inaccuracy in any representation made to the Division, or the breach of any provision of the undertakings and representations; and e) Parker shall submit to APFS, APA, and the Director an affidavit stating that he has fully complied with all conditions of the Order referenced in his undertakings, or, in the event that Parker cannot submit the required affidavit, he shall instead submit a statement explaining why.



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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CAPITAL ANALYSTS
Allegations:	A DEMAND LETTER ALLEGING BREACH OF FUDICIARY DUTY, NEGLIGENT SUPERVISION OF OFFICE MANAGER, RESPONDEAT SUPERIOR LIABILITY FOR THE ACTS AND CONDUCT OF ITS OFFICE MANAGER, BREACH OF ITS DUTY TO DISCLOSE INFORMATION TO THE BENEFICIARY OF THE TRUST, CONFLICT OF INTEREST BETWEEN OFFICE MANAGER AND THAT OF BENEFICIARY AND TRUST, AND OTHER RELATED CONDUCT WHICH HARMED TRUST AND BENEFICIARY.
Product Type:	Annuity-Variable Insurance Mutual Fund
Alleged Damages:	\$216,000.00
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:	11/10/2010
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	12/10/2010
Settlement Amount:	

Individual Contribution Amount:

Civil Litigation Information

Type of Court:	State Court
Name of Court:	COMMONWEALTH OF MA, SUPERIOR COURT
Location of Court:	WORCESTER, MA
Docket/Case #:	11-0709B
Date Notice/Process Served:	04/15/2011
Litigation Pending?	No
Disposition:	Settled



Disposition Date:	06/21/2013
Monetary Compensation Amount:	\$85,000.00
Individual Contribution Amount:	\$0.00



End of Report

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