IAPD Report

GREGORY JONATHAN RITTER

CRD# 3087358

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 JONATHAN RITTER (CRD# 3087358)

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 **04/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EMERSON EQUITY LLC	CRD# 130032	06/08/2010
IA	EMERSON EQUITY LLC	CRD# 130032	11/10/2010

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
IA	CHASE INVESTMENT SERVICES CORP.	25574	DELAWARE, OH	04/18/2007 - 10/30/2009
B	CHASE INVESTMENT SERVICES CORP.	25574	DELAWARE, OH	12/14/2005 - 10/30/2009
B	FIXED INCOME SECURITIES, LP	46727	MONUMENT, CO	06/21/2005 - 09/23/2005

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

Employment 1 of 1

Firm Name: **EMERSON EQUITY LLC**

Main Address: 155 BOVET ROAD, SUITE 725
SAN MATEO, CA 94402

Firm ID#: 130032

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/08/2010
B	Florida	Agent	Approved	02/20/2014
B	Georgia	Agent	Approved	03/11/2022
B	Illinois	Agent	Approved	08/03/2021
B	Indiana	Agent	Approved	06/24/2020
B	Ohio	Agent	Approved	06/15/2010
IA	Ohio	Investment Adviser Representative	Approved	11/10/2010
B	Tennessee	Agent	Approved	08/05/2020
B	Texas	Agent	Approved	06/14/2010
B	West Virginia	Agent	Approved	01/10/2024
B	Wisconsin	Agent	Approved	05/09/2024

Branch Office Locations

EMERSON EQUITY LLC
40 NORTH SANDUSKY STREET
SUITE 300

Qualifications

DELAWARE, OH 43015

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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/25/2000
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/01/1998

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/16/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/28/2000

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	04/18/2007 - 10/30/2009	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	DELAWARE, OH
B	12/14/2005 - 10/30/2009	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	DELAWARE, OH
B	06/21/2005 - 09/23/2005	FIXED INCOME SECURITIES, LP	CRD# 46727	MONUMENT, CO
B	01/27/2005 - 06/27/2005	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	06/03/2005 - 06/23/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	12/06/2004 - 01/27/2005	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
IA	12/06/2004 - 01/27/2005	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	CRD# 6363	GREENVILLE, OH
B	12/06/2004 - 01/27/2005	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	06/07/2001 - 02/17/2004	NATIONWIDE INVESTMENT SERVICES CORPORATION	CRD# 7110	COLUMBUS, OH
B	09/11/2000 - 12/07/2000	EDWARD JONES	CRD# 250	ST. LOUIS, MO
B	10/02/1998 - 07/27/2000	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA

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
06/2010 - Present	EMERSON EQUITY LLC	REGISTERED REPRESENTATIVE	Y	SAN MATEO, CA, United States
06/2010 - Present	FAMILY FINANCIAL OF CENTRAL OHIO	MANAGING PARNTER	N	DELAWARE, OH, 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.

NAME OF OTHER BUSINESS: FAMILY FINANCIAL OF CENTRAL OHIO; IS BUSINESS INVESTMENT RELATED: YES; ADDRESS OF OTHER BUSINESS: 40 N. SANDUSKY STREET, STE 300; DELAWARE, OHIO 43015; NATURE OF OTHER BUSINESS: ENTITY USED MARKET SECURITIES RELATED BUSINESS AND INSURANCE RELATED BUSINESS THROUGH REGISTERED BROKER DEALER; POSITION: MANAGING PARTNER; STATE DATE: 06/02/2010; APPROXIMATE HOURS DEVOTED DURING OTHER BUSINESS: CONSISTENT WITH HOURS SPENT WORKING FOR BROKER DEALER; HOURS DEVOTED DURING SECURITIES TRADING HOURS: CONSISTENT WITH HOURS SPEND WORKING FOR BROKER DEALER.

NAME OF OTHER BUSINESS: N/A: APPLICANT WRITES HEALTH INSURANCE.
IS BUSINESS INVESTMENT RELATED: NO.
ADDRESS OF OTHER BUSINESS: 49 N. SANDUSKY STREET, DELAWARE, OHIO 43015.
NATURE OF OTHER BUSINESS: PROVIDING HEALTH INSURANCE POLICIES TO PROSPECTS.
POSITION: SALES.
STATE DATE: OCTOBER 2010
HOURS PER MONTH: 6 HRS PER MONTH
HOURS DURING TRADING HOURS: LESS THAN 1 PER DAY.

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*.
    - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - o 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*.
    - o 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.
    - o 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.
    - o 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	1
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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EMERSON EQUITY LLC
Allegations:	Breach of fiduciary duty, Negligence, violation of regulation Best Interest, violation of securities rules and regulations.
Product Type:	Debt-Corporate
Alleged Damages:	$135,000.00
Alleged Damages Amount Explanation (if amount not exact):	estimated total, claimant is asking for damages and any further compensation the panel deems right and just.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	24-02050
Date Notice/Process Served:	09/26/2024
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/16/2025

Monetary Compensation Amount:	$37,500.00
Individual Contribution Amount:	$0.00

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:	JPMCHASE BANK
Termination Type:	Discharged
Termination Date:	10/20/2009
Allegations:	REGISTERED REP ALLEGEDLY FALSIFIED THE DATE ON A CLIENT-SIGNED DOCUMENT.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	CHASE INVESTMENT SERVICES CORP.
Termination Type:	Discharged
Termination Date:	10/20/2009
Allegations:	RR CORRECTED A MUTUAL FUND DISCLOSURE FORM IN FAVOR OF CLIENT - FORM WAS ORIGINALLY DATED 10/3/09. THE CORRECTION WAS IN FAVOR OF THE CLIENT. TRADE WAS GOING TO BE BUSTED IF THE FORM WAS NOT TURNED IN BY 10/13/10. RR, IN ORDER TO PRESERVE TRADE (WHICH ALSO APPRECIATED IN FAVOR OF CLIENT), PUT A 1 IN FRONT OF THE ORIGINAL DATE OF 10/03/09.
Product Type:	No Product
Broker Statement	CLIENT SIGNED A MUTUAL FUND DISCLOSURE FORM ON 10/03/09. RR WENT ON VACATION UNTIL 10/13/09, AT WHICH TIME RR WAS INFORMED HE HAD TO CORRECT INFORMATION ON DISCLOSURE FORM, WHICH WAS IN FAVOR OF CLIENT. MUTUAL FUND ALSO APPRECIATE IN FAVOR OF THE CLIENT. CHASE WAS GOING TO BUST THE TRADE IF CORRECTED DISCLOSURE FORM NOT SENT IN AS 14 DAY DEADLINE FROM ORIGINAL TRADE WAS COMING TO AN END THAT DAY. RR WAS UNABLE TO REACH CLIENT ON SUCH SHORT NOTICE, SO IN ORDER TO PRESERVE TRADE RR PUT A 1 IN FRONT OF THE ORIGINAL DATE OF OCTOBER 3 AND RESUBMITTED THE DISCLOSURE WORKSHEET.

End of Report

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