



IAPD Report

Barry James Gilrane

CRD# 3088659

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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

Barry James Gilrane (CRD# 3088659)

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 **11/04/2025**.

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 **42** 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	NEWARK, NJ	06/11/2021 - 11/14/2024
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	FOR MILL, SC	06/11/2021 - 11/14/2024
IA	LPL FINANCIAL LLC	6413	FORT MILL, SC	05/29/2018 - 06/25/2021

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



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 **42** 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 Principal	Approved	11/14/2024
B	FINRA	General Securities Representative	Approved	11/14/2024
B	Alabama	Agent	Approved	12/05/2024
B	Arizona	Agent	Approved	12/06/2024
B	Arkansas	Agent	Approved	12/05/2024
B	California	Agent	Approved	11/14/2024
IA	California	Investment Adviser Representative	Approved	11/14/2024
B	Colorado	Agent	Approved	11/14/2024
B	Connecticut	Agent	Approved	12/06/2024
B	District of Columbia	Agent	Approved	12/06/2024
B	Florida	Agent	Approved	12/06/2024
B	Georgia	Agent	Approved	12/06/2024
B	Hawaii	Agent	Approved	11/14/2024



Qualifications

Regulator	Registration	Status	Date
IA Hawaii	Investment Adviser Representative	Approved	11/14/2024
B Idaho	Agent	Approved	11/14/2024
IA Idaho	Investment Adviser Representative	Approved	11/14/2024
B Illinois	Agent	Approved	12/05/2024
B Indiana	Agent	Approved	12/05/2024
B Iowa	Agent	Approved	11/14/2024
IA Iowa	Investment Adviser Representative	Approved	11/14/2024
B Kansas	Agent	Approved	11/04/2025
B Louisiana	Agent	Approved	12/05/2024
B Maryland	Agent	Approved	12/06/2024
B Massachusetts	Agent	Approved	01/16/2025
B Michigan	Agent	Approved	11/14/2024
IA Michigan	Investment Adviser Representative	Approved	11/14/2024
B Minnesota	Agent	Approved	11/14/2024
IA Minnesota	Investment Adviser Representative	Approved	11/14/2024
B Mississippi	Agent	Approved	12/06/2024
B Missouri	Agent	Approved	12/06/2024
B Montana	Agent	Approved	11/14/2024
IA Montana	Investment Adviser Representative	Approved	11/14/2024



Qualifications

	Regulator	Registration	Status	Date
B	Nebraska	Agent	Approved	11/14/2024
IA	Nebraska	Investment Adviser Representative	Approved	11/14/2024
B	Nevada	Agent	Approved	11/14/2024
IA	Nevada	Investment Adviser Representative	Approved	11/14/2024
B	New Hampshire	Agent	Approved	12/06/2024
B	New Jersey	Agent	Approved	12/06/2024
B	New Mexico	Agent	Approved	11/14/2024
IA	New Mexico	Investment Adviser Representative	Approved	11/14/2024
B	New York	Agent	Approved	12/05/2024
B	North Carolina	Agent	Approved	12/06/2024
IA	North Carolina	Investment Adviser Representative	Approved	06/09/2025
B	North Dakota	Agent	Approved	11/14/2024
IA	North Dakota	Investment Adviser Representative	Approved	11/14/2024
B	Oregon	Agent	Approved	11/14/2024
B	Pennsylvania	Agent	Approved	12/06/2024
B	South Carolina	Agent	Approved	11/14/2024
IA	South Carolina	Investment Adviser Representative	Approved	11/14/2024
B	South Dakota	Agent	Approved	11/14/2024



Qualifications

Regulator	Registration	Status	Date
IA South Dakota	Investment Adviser Representative	Approved	11/14/2024
B Texas	Agent	Approved	12/06/2024
IA Texas	Investment Adviser Representative	Restricted Approval	12/07/2024
B Utah	Agent	Approved	11/14/2024
IA Utah	Investment Adviser Representative	Approved	11/14/2024
B Virginia	Agent	Approved	12/05/2024
B Washington	Agent	Approved	11/14/2024
IA Washington	Investment Adviser Representative	Approved	11/14/2024
B West Virginia	Agent	Approved	12/06/2024
B Wisconsin	Agent	Approved	11/14/2024
IA Wisconsin	Investment Adviser Representative	Approved	11/14/2024
B Wyoming	Agent	Approved	11/14/2024
IA Wyoming	Investment Adviser Representative	Approved	11/14/2024

Branch Office Locations

LPL ENTERPRISE, LLC
fort mill, SC

LPL ENTERPRISE, LLC
5605 CARNEGIE BLVD
STE 240
CHARLOTTE, NC 28209




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 3 state securities law exams.





Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/03/1999

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/06/1999
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/04/1998

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/13/2012
  Uniform Combined State Law Examination (S66)	Series 66	07/01/2008
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/24/2003

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	06/11/2021 - 11/14/2024	PRUCO SECURITIES, LLC.	CRD# 5685	NEWARK, NJ
IA	06/11/2021 - 11/14/2024	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	FOR MILL, SC
IA	05/29/2018 - 06/25/2021	LPL FINANCIAL LLC	CRD# 6413	FORT MILL, SC
B	05/24/2018 - 06/25/2021	LPL FINANCIAL LLC	CRD# 6413	FORT MILL, SC
B	03/25/2017 - 05/08/2018	MML INVESTORS SERVICES, LLC	CRD# 10409	CHARLOTTE, NC
IA	03/25/2017 - 05/08/2018	MML INVESTORS SERVICES, LLC	CRD# 10409	CHARLOTTE, NC
IA	11/14/2012 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	CHARLOTTE, NC
B	10/07/1999 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	CHARLOTTE, NC
IA	11/14/2012 - 01/02/2015	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	CHARLOTTE, NC
B	08/31/2004 - 01/02/2015	NEW ENGLAND SECURITIES	CRD# 615	CHARLOTTE, NC
IA	11/14/2012 - 09/05/2013	TOWER SQUARE SECURITIES, INC.	CRD# 833	BASKING RIDGE, NJ
IA	11/14/2012 - 09/05/2013	WALNUT STREET SECURITIES, INC.	CRD# 15840	BASKING RIDGE, NJ
B	08/01/2005 - 09/05/2013	TOWER SQUARE SECURITIES, INC.	CRD# 833	EL SEGUNDO, CA
B	08/31/2004 - 09/05/2013	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	10/07/1999 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY



Registration & Employment History

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	NEWARK, NJ, United States
06/2021 - Present	Prudential Insurance Company of America	VP, TERRITORY ADVISORY CONSULTANT	Y	FORT MILL, SC, United States
06/2021 - 11/2024	Pruco Securities, LLC.	REGISTERED REPRESENTATIVE	Y	FORT MILL, SC, United States
05/2018 - 06/2021	LPL Financial LLC	Registered Representative/Home Office	Y	Fort Mill, SC, United States
03/2017 - 05/2018	MML INVESTORS SERVICES, LLC	Head of Internal Sales	Y	CHARLOTTE, NC, United States
12/1998 - 05/2018	METROPOLITAN LIFE INS CO	Wholesaler	Y	NEW YORK, NY, United States
12/1998 - 06/2016	METLIFE SECURITIES	Wholesaling	Y	ISELIN, NJ, 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.

No information reported.



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	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:	LPL FINANCIAL LLC
Allegations:	CLIENT ALLEGES THE REP RECRUITED HIM FOR EMPLOYMENT AT HIS PRIOR FIRM AND OMITTED MATERIAL FACTS CONCERNING THE OPPORTUNITY AND MADE REPRESENTATIONS THAT WERE FALSE AND MISLEADING.
Product Type:	No Product
Alleged Damages:	\$400,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	88CCV5-3BC76
Filing date of arbitration/CFTC reparation or civil litigation:	01/06/2022
Customer Complaint Information	
Date Complaint Received:	01/21/2022



Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	01/21/2022
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	22-00027
Date Notice/Process Served:	01/06/2022
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/22/2022
Monetary Compensation Amount:	\$9,750.00
Individual Contribution Amount:	\$0.00



End of Report

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