



## IAPD Report

# Gregg Thomas Defilippi

CRD# 4252616

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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 Thomas Defilippi (CRD# 4252616)

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>B</b>	EDWARD JONES	CRD# 250	10/10/2000
<b>IA</b>	EDWARD JONES	CRD# 250	08/30/2007

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **18** 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
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No information reported.

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	2



## 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 **18** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **EDWARD JONES**  
Main Address: 12555 MANCHESTER RD  
ST. LOUIS, MO 63131  
Firm ID#: 250

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	10/10/2000
<b>B</b> NYSE American LLC	General Securities Representative	Approved	09/14/2011
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	12/04/2000
<b>B</b> Alabama	Agent	Approved	12/08/2020
<b>B</b> California	Agent	Approved	12/22/2009
<b>B</b> Delaware	Agent	Approved	11/10/2014
<b>B</b> Florida	Agent	Approved	03/15/2004
<b>B</b> Hawaii	Agent	Approved	06/26/2025
<b>B</b> Illinois	Agent	Approved	04/13/2026
<b>B</b> Maryland	Agent	Approved	04/24/2012
<b>B</b> Massachusetts	Agent	Approved	05/19/2009
<b>B</b> Missouri	Agent	Approved	06/06/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New Jersey	Agent	Approved	03/02/2026
<b>B</b> New York	Agent	Approved	10/28/2004
<b>B</b> North Carolina	Agent	Approved	07/07/2025
<b>IA</b> North Carolina	Investment Adviser Representative	Approved	01/29/2026
<b>B</b> Ohio	Agent	Approved	12/03/2001
<b>B</b> Pennsylvania	Agent	Approved	10/24/2000
<b>IA</b> Pennsylvania	Investment Adviser Representative	Approved	08/30/2007
<b>B</b> South Carolina	Agent	Approved	04/29/2008
<b>B</b> Tennessee	Agent	Approved	11/21/2022
<b>B</b> Texas	Agent	Approved	04/05/2021
<b>IA</b> Texas	Investment Adviser Representative	Approved	04/06/2021
<b>B</b> Virginia	Agent	Approved	06/08/2009

### Branch Office Locations

**EDWARD JONES**  
 ANCHOR COURT  
 2207 FREEPORT ROAD  
 NATRONA HEIGHTS, PA 15065

**EDWARD JONES**  
 Arden, NC



## 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 2 state securities law exams.**

#### 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
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General Securities Representative Examination (S7)	Series 7	10/09/2000
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/16/2026
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Uniform Securities Agent State Law Examination (S63)	Series 63	10/11/2000
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### PROFESSIONAL DESIGNATIONS

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

#### Certified Financial Planner

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:

No information reported.

### 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
08/2000 - Present	EDWARD JONES	INVESTMENT REPRESENTATIVE	Y	ST LOUIS, MO, 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	2

### 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 2

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	EDWARD JONES
<b>Allegations:</b>	10/07-4/09; CLIENT STATES HE MET WITH FA AND WANTED TO PURCHASE CDS. CLIENT STATES INSTEAD, FA PURCHASED MUTUAL FUNDS AND NOW HIS INVESTMENT HAS GONE FROM \$77,000 TO \$53,000. CLIENT IS QUESTIONING WHY THEY WOULD RECOMMEND THESE INVESTMENTS TO A PERSON HIS AGE.
<b>Product Type:</b>	Mutual Fund(s)
<b>Alleged Damages:</b>	\$5,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	04/07/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	04/21/2009

#### Settlement Amount:

#### Individual Contribution Amount:

<b>Broker Statement</b>	FA HAS INDICATED HE AND THE CLIENT MET IN APRIL 2007 AT WHICH TIME THE CLIENT WANTED TO PURCHASE INDIVIDUAL STOCKS WITH OUR FIRM. ACCORDING TO THE FA, THE STOCKS THE CLIENT WAS INTERESTED IN PURCHASING AT THAT TIME WERE AGGRESSIVE AND THE FA DID NOT
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BELIEVE THEY WOULD BE SUITABLE FOR THE CLIENT BASED ON THE CLIENT'S INVESTMENT OBJECTIVES. IT IS OUR UNDERSTANDING THE CLIENT DECIDED AGAINST BUYING INDIVIDUAL STOCKS AT THAT TIME. THE FA HAS INDICATED THAT HE AND THE CLIENT MET AGAIN IN OCTOBER 2007 REGARDING A CONCERN THE CLIENT HAD ABOUT AN ANNUITY THE CLIENT HAD PURCHASED ELSEWHERE. DURING THAT MEETING, THE FA STATED THE CLIENT ASKED WHAT INVESTMENTS HE RECOMMENDED WITH THE POTENTIAL OF PROVIDING A RATE OF RETURN SIMILAR TO THAT OF THE ANNUITY THE CLIENT PURCHASED. THE FA STATED HE DISCUSSED SEVERAL OPTIONS INCLUDING ANNUITIES, MONEY MARKETS, MUTUAL FUNDS AND CDS AND AT THAT TIME, THE CLIENT INFORMED THE FA HE HAD PREVIOUSLY OWNED ANNUITIES, CDS AND STOCKS. ACCORDING TO THE FA, THE CLIENT LIKED THE POSSIBILITY OF INCREASED INCOME WHICH COULD BE PROVIDED BY THE MUTUAL FUNDS THEY HAD DISCUSSED. FA INDICATED HE EXPLAINED THAT MUTUAL FUNDS WERE NOT SHORT TERM INVESTMENTS, THE RATE OF RETURN WAS NOT SET OR GUARANTEED AND THAT THE FUNDS COULD LOSE MONEY. IN CLOSING, UPON REVIEW OF THE INVESTMENTS THAT WERE HELD IN THE ACCOUNT, THEY DO NOT APPEAR TO BE OUTSIDE OF THE SCOPE OF THE INVESTMENT OBJECTIVES LISTED ON THE ACCOUNT. WHILE WE UNDERSTAND THE CLIENT'S DISAPPOINTMENT WITH THE PERFORMANCE OF THE PORTFOLIO, IT DOES APPEAR THE PERFORMANCE WAS ATTRIBUTED TO MARKET FLUCTUATION WHICH IS A RISK ASSOCIATED WITH INVESTING. BECAUSE THE FUTURE CANNOT BE PREDICTED, WE ENCOURAGE OUR CLIENTS TO PREPARE FOR THE FUTURE BY MAINTAINING DIVERSIFIED PORTFOLIOS.

## Disclosure 2 of 2

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	EDWARD JONES
<b>Allegations:</b>	9/07-12/08; EXECUTOR STATES FA TOLD HIS MOTHER THAT THE DEATH BENEFIT OF THE ANNUITY WOULD NEVER BE LOWER THAN THE AMOUNT INVESTED. MOTHER HAS DIED AND WHEN THE ANNUITY WAS SOLD, THE EXECUTOR STATES THE AMOUNT RECEIVED WAS APPROXIMATELY \$55,000 LESS THAN AMOUNT INVESTED. EXECUTOR HAS SINCE LEARNED THE DEATH BENEFIT WAS BASED ON MARKET VALUE.
<b>Product Type:</b>	Annuity(ies) - Variable
<b>Alleged Damages:</b>	\$5,000.00
<b>Customer Complaint Information</b>	
<b>Date Complaint Received:</b>	02/24/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	04/09/2009
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	FA INDICATED HE WAS ORIGINALLY CONTACTED BY THE CLIENT'S SON AND DAUGHTER IN 09/07 ABOUT THEIR MOTHER'S ANNUITY THAT WAS



MATURING. IT IS OUR UNDERSTANDING THE CLIENT WANTED TO AVOID THE TAX IMPLICATIONS OF THE DISTRIBUTION AND WAS INTERESTED IN A 1035 EXCHANGE TO ANOTHER ANNUITY. FA HAS STATED HE DISCUSSED MULTIPLE OPTIONS WITH THE SON, DAUGHTER AND MOTHER INCLUDING FIXED AND VARIABLE ANNUITIES. IT IS OUR UNDERSTANDING THEY AGREED TO THE VARIABLE ANNUITY BECAUSE THE RATES ON THE FIXED ANNUITIES WERE NOT VERY ATTRACTIVE AT THAT TIME. FA HAS STATED HE INFORMED THE THREE OF THEM THERE COULD BE FLUCTUATION IN THE PRINCIPAL INVESTED. FA HAS ALSO STATED HE INFORMED THEM THE DEATH BENEFIT WAS LIMITED TO 125% OF THE CONTRACT VALUE. BECAUSE OF THIS, IT IS OUR UNDERSTANDING THE DECISION WAS MADE TO ALLOCATE APPROXIMATELY 50% OF THE CONTRACT TO BONDS. IT IS OUR UNDERSTANDING THE SON CONTACTED AIG DIRECTLY TO PROCESS THE DEATH CLAIM, BYPASSING THE FA. BECAUSE OF THIS, THE FA DID NOT KNOW THEY RECEIVED APPROXIMATELY \$183,000. WHEN THIS WAS BROUGHT TO HIS ATTENTION, HE WAS ABLE TO HAVE AIG ISSUE OUT AN ADDITIONAL AMOUNT IN THE PROXIMITY OF \$46,000. IN CLOSING, THE FA HAS STATED ON NUMEROUS OCCASIONS, HE DID INFORM THE SON AND DAUGHTER THE VALUE OF THE ANNUITY WOULD FLUCTUATE AND THAT THE DEATH BENEFIT WAS LIMITED TO 125% OF THE CONTRACT VALUE. ADDITIONALLY THE DEATH BENEFIT INFORMATION WOULD HAVE BEEN DISCLOSED IN THE CONTRACT. BASED ON OUR INVESTIGATION, WE HAVE NO REASON TO BELIEVE THE ANNUITY WAS MISREPRESENTED BY THE FA.



## End of Report

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