IAPD Report

GREGORY PAUL BENNER

CRD# 4438329

Section Title	Page(s)

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

GREGORY PAUL BENNER (CRD# 4438329)

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 **03/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VERTEX PARTNERS	CRD# 316839	03/21/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	LPL FINANCIAL LLC	6413	DOWNERS GROVE, IL	06/08/2011 - 01/27/2025
IA	HIGHPOINT PLANNING PARTNERS	316636	Downers Grove, IL	12/17/2021 - 04/29/2022
IA	HIGHPOINT PLANNING PARTNERS	163768	Downers Grove, IL	05/23/2016 - 12/31/2021

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
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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **VERTEX PARTNERS**

Main Address: 3000 WOODCREEK DRIVE
SUITE 100
DOWNERS GROVE, IL 60515

Firm ID#: 316839

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	04/04/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	03/21/2022

Branch Office Locations

VERTEX PARTNERS
3000 WOODCREEK DRIVE
SUITE 100
DOWNERS GROVE, IL 60515

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	12/23/2004
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/23/2002

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/07/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/01/2003

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** 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
B	06/08/2011 - 01/27/2025	LPL FINANCIAL LLC	CRD# 6413	DOWNERS GROVE, IL
IA	12/17/2021 - 04/29/2022	HIGHPOINT PLANNING PARTNERS	CRD# 316636	Downers Grove, IL
IA	05/23/2016 - 12/31/2021	HIGHPOINT PLANNING PARTNERS	CRD# 163768	Downers Grove, IL
IA	07/17/2018 - 02/04/2019	LPL FINANCIAL LLC	CRD# 6413	DOWNERS GROVE, IL
IA	07/14/2016 - 12/23/2016	LPL FINANCIAL LLC	CRD# 6413	DOWNERS GROVE, IL
IA	02/28/2012 - 12/15/2016	REDWOOD FINANCIAL NETWORK	CRD# 157834	Downers Grove, IL
IA	12/11/2015 - 02/10/2016	HIGHPOINT ADVISOR GROUP, LLC	CRD# 163768	DOWNERS GROVE, IL
IA	06/08/2011 - 02/04/2016	LPL FINANCIAL LLC	CRD# 6413	DOWNERS GROVE, IL
B	07/06/2005 - 06/09/2011	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	EVANSTON, IL
IA	07/06/2005 - 06/09/2011	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	EVANSTON, IL
IA	06/08/2005 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	EVANSTON, IL
B	02/24/2005 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL
B	05/30/2003 - 01/27/2005	NATCITY INVESTMENTS, INC.	CRD# 17490	CLEVELAND, OH
B	04/09/2002 - 05/06/2003	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	MILWAUKEE, WI

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
03/2022 - Present	VERTEX PLANNING PARTNERS, LLC	MEMBER AND CHIEF COMPLIANCE OFFICER	Y	DOWNERS GROVE, IL, United States
06/2011 - Present	LPL FINANCIAL LLC	Registered Representative	Y	Downers Grove, IL, United States
05/2016 - 04/2022	HIGHPOINT ADVISOR GROUP, LLC	Investment Adviser Representative	Y	Downers Grove, IL, United States
06/2011 - 07/2016	REDWOOD FINANCIAL NETWORK CORP.	Investment Adviser Representative	Y	Downers Grove, IL, 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.

1. 01/27/2016 - Mises Capital Management, Ltd. - INV REL - 3000 Woodcreek Drive, Suite 100, Downers Grove, IL 60515 - Business Entity For Tax/Investment Purposes Only - START 02/01/2015 - 40 HOURS PER MONTH, 8 DURING TRADING - S-Corporation receiving all payments from RIA related business activities.

2. 05/23/2016 - Vertex Planning Partners; Investment-Related; Downers Grove, IL; DBA for RIA related business; Investment Adviser Representative; 5/20/16; 80 hrs/mo; 40 hrs/mo during securities trading hours; Duties are to advise clients regarding financial planning, investment and insurance related concerns.

3. 8/23/2017 - Lyspooner Enterprises, LLC - Not Investment Related - Home Based - Business Entity For Tax/Investment Purposes Only - Started 01/26/2015 - 1 Hour Per Month During Securities Trading.

4. 9/7/2017 - Pivot Property Partners, LLC - Investment Related - 3000 Woodcreek Dr., Suite 100, Downers Grove, IL 60515 - Real Estate Rental - Started 08/01/2017 - 2 Hours Per Month/1 Hour During Securities Trading.

5. 3/16/2018 - Vertex Accounting Partners, LLC - Investment Related - 3000 Woodcreek Drive, Suite 120, Downers Grove, IL 60515 - Tax Prep/Accounting/CPA - Partner - Started 01/01/2018 - 5 Hours Per Month/0 Hours During Securities Trading.

6. 01/31/2022 - Pass Go, LLC - Investment Related - 1133 W 9th St, Cleveland, OH 44113 - Other-LLC formed to own and rent residential real estate - Member - Start Date: 01/03/2022 - 1 Hour Per Month/0 Hours During Securities Trading.

7. 04/14/2022 - Vertex Partners, LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Start Date - 01/03/2022 - 40 Hours Per Month/ 40 Hours During - I provide investment advisory services through Vertex Partners, an independent investment advisor firm. I started this business activity in 01/2022. I expect to spend approximately 40 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at http://www.adviserinfo.sec.gov/IAPD. The firm is separate from and independent of LPL Financial.

8. 1/11/2023 - Vertex Planning Partners, LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - RIA- Start Date - 01/17/2023 - 40 Hours Per Month/40 Hours During Securities Trading -

Registration & Employment History

OTHER BUSINESS ACTIVITIES

9. 2/15/2023 - Vertex Partners - DBA: Aspire Planning Group, LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Start Date - 02/06/2023 - 1 Hours Per Month/1 Hours During Securities Trading

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
Termination	1

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:	Individual
Firm Name:	NATCITY INVESTMENTS
Termination Type:	Discharged
Termination Date:	01/05/2005
Allegations:	VIOLATION OF FIRM POLICY REGARDING CHECK HANDLING.
Product Type:	Mutual Fund
Broker Statement	I HELD A CUSTOMER CHECK FOR $275 BECAUSE PAPERWORK WAS INCOMPLETE AND NEEDED ADDTIONAL INFO. THE CHECK WAS HELD PENDING COMPLETION OF THE ACCOUNT PAPERWORK, AND SEVERAL MONTHS PASSED WITHOUT GETTING THE ADDITIONAL PAPERWORK COMPLETED. I ALSO DISCOVERED THE OFFICIAL CHECK ORIGINALLY USED WAS INCORRECT, AND HAD IT REISSUED BY A BRANCH TELLER USING A "NOT USED FOR PURPOSE INTENDED" ENDORSEMENT. I WROTE IN THE CUSTOMER'S NAME, IN ERROR ACCORDING TO NATIONAL CITY, AND IMMEDIATELY HAD A TELLER REISSUE A NEW CHECK FOR $275 MADE TO COLLEGE AMERICA TO COMPLY WITH THE CUSTOMERS INITIAL REQUEST. AT NO TIME DID I USE THE $275 FOR MY OWN PURPOSE OR ANY PURPOSE OTHER THAN FOR THE BENEFIT OF THE CLIENT. THERE WAS NO INTENT TO VIOLATE FIRM POLICY OR MISAPPROPRIATE FUNDS, AND NATCITY HAS ACKNOWLEDGED THIS. THE ERROR CAME FROM BEING UNAWARE OF THE PROPER PROCEDURES TO FOLLOW IN A CASE SUCH AS THIS.

End of Report

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