



IAPD Report

CHAD R GORDON

CRD# 4621788

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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

CHAD R GORDON (CRD# 4621788)

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 **01/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GREENSTAR ADVISORS	CRD# 289373	10/30/2017

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	PURSHE KAPLAN STERLING INVESTMENTS	35747	Centennial, CO	10/30/2017 - 04/30/2020
IA	INDEPENDENT FINANCIAL PARTNERS	125112	CENTENNIAL, CO	06/06/2014 - 11/14/2017
B	LPL FINANCIAL LLC	6413	CENTENNIAL, CO	08/31/2010 - 11/08/2017

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



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

Employment 1 of 1

Firm Name: **GREENSTAR ADVISORS**
Main Address: CENTENNIAL, CO
Firm ID#: 289373

Regulator	Registration	Status	Date
IA Colorado	Investment Adviser Representative	Approved	10/30/2017

Branch Office Locations

GREENSTAR ADVISORS
CENTENNIAL, CO



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 1 state securities law exam.




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
 General Securities Representative Examination (S7)	Series 7	05/13/2005
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/25/2003

State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	07/20/2005
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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	10/30/2017 - 04/30/2020	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Centennial, CO
IA	06/06/2014 - 11/14/2017	INDEPENDENT FINANCIAL PARTNERS	CRD# 125112	CENTENNIAL, CO
B	08/31/2010 - 11/08/2017	LPL FINANCIAL LLC	CRD# 6413	CENTENNIAL, CO
IA	08/31/2010 - 10/29/2015	LPL FINANCIAL LLC	CRD# 6413	CENTENNIAL, CO
B	02/01/2007 - 09/01/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	ENGLEWOOD, CO
IA	02/01/2007 - 09/01/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	ENGLEWOOD, CO
B	10/18/2006 - 02/01/2007	ATLAS SECURITIES, LLC	CRD# 20991	AURORA, CO
IA	08/04/2005 - 10/16/2006	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	ENGLEWOOD, CO
B	03/31/2005 - 10/16/2006	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	ENGLEWOOD, CO
B	02/26/2003 - 10/24/2003	WORLD GROUP SECURITIES, INC.	CRD# 114473	DULUTH, GA

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
10/2017 - Present	GreenStar Advisors	President/Owner & CCO	Y	Centennial, CO, United States
10/2017 - 04/2020	Purshe Kaplan Sterling Investments	Registered Representative	Y	Centennial, CO, United States
06/2014 - 10/2017	INDEPENDENT FINANCIAL PARTNERS	INVESTMENT ADVISER REP	Y	CENTENNIAL, CO, United States
08/2010 - 10/2017	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	GREENWOOD VILLAGE, CO, 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.

10/15/2015 * Author, published through GreenStar Press (subsidiary of GreenStar Advisors) * 6494 S. Quebec Street, Centennial, CO 80111* START 03/01/2016 * 1 HR/MO DURING SECS TRDG HRS.

01/2019 * Owner of GreenStar Properities, LLC * Centennial, CO * 1 HR/MO during non-trading hours * real estate management

03/2021 * Owner of Sharp Archive, LLC * Centennial, CO * 20 HRS/MO during non-trading hours * software development



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

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:	Colorado Division of securities
Sanction(s) Sought:	Censure Other: retention of a third party compliance consultant for one (1) year
Date Initiated:	10/07/2019
Docket/Case Number:	2019-cds-032
URL for Regulatory Action:	https://drive.google.com/file/d/1f5ptrlq-J1pN28Gvc7CW77LadbGd4kUv/view
Employing firm when activity occurred which led to the regulatory action:	Greenstar advisors, LLC
Product Type:	No Product
Allegations:	Staff alleged that, from January 2018 until August 2019, while under the respondents' supervision, an unlicensed representative of the firm made recommendations to and rendered advice regarding securities to several firm clients and, with the respondents' knowledge, solicited potential clients to bring their assets to the firm.
Current Status:	Final
Resolution:	Stipulation and Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes



Resolution Date: 10/07/2019

Sanctions Ordered: Censure
Other: Retention of a third party compliance consultant for one (1) year.

Regulator Statement Respondents shall retain a third party compliance consultant, approved by the division, for a period of one (1) year to review and develop all required written policies and procedures, and to conduct one (1) surprise books and records review to ensure compliance with the firm's policies and procedures.

Reporting Source: Individual

Regulatory Action Initiated By: Colorado Division of securities

Sanction(s) Sought: Censure
Other: retention of a third party compliance consultant for one (1) year

Date Initiated: 10/07/2019

Docket/Case Number: 2019-cds-032

Employing firm when activity occurred which led to the regulatory action: Greenstar Advisors, LLC

Product Type: No Product

Allegations: Staff alleged that, from January 2018 until August 2019, while under the respondents' supervision, an unlicensed representative of the firm made recommendations to and rendered advice regarding securities to several firm clients and, with the respondents' knowledge, solicited potential clients to bring their assets to the firm.

Current Status: Final

Resolution: Stipulation and Consent

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

Resolution Date: 10/07/2019

Sanctions Ordered: Censure

Broker Statement In January 2018, the firm purchased a book of business from a retiring advisor. Under the contractual two year buy-sell agreement, the retiring advisor was to aid in the transition by acting solely in a servicing capacity and not engage in advice or solicitation. The advisor no longer had access to his former clients' accounts, nor could he affect trades or do any servicing himself. At first, this boundary was maintained. To the firm's knowledge the advisor was barely doing anything with respect to his former clients - all servicing issues were passed along to the firm. Starting in the summer of 2018, it seemed that the advisor's engagement had all but diminished. However, starting especially in the summer of 2019, behind the firm's back, the retiring advisor was giving some of his former clients financial advice and sharing opinions on the stock market. When the firm found out about this, we immediately terminated our association with the individual and communicated this to his former clients. The firm would like to state that when the individual was confronted, he exhibited unusual signs of confusion about where he



stood "in the business" which to us explained some of his recent behavior. This is the first time the firm had witnessed this type of confusion with the individual. As far as the statement about soliciting potential clients, this was regarding two households that he introduced to the firm during this transition period. One was his cousin who was retiring and the other was a couple he met in a waiting room. In both instances, they were introduced to the firm and the firm did all the financial advising.



End of Report

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