



IAPD Report

IOAN GRIGOR

CRD# 5920443

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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

IOAN GRIGOR (CRD# 5920443)

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 **12/23/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BANKERS LIFE SECURITIES, INC.	CRD# 173962	05/26/2016
IA	BANKERS LIFE ADVISORY SERVICES, INC.	CRD# 281285	08/01/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	PROEQUITIES, INC.	15708	NORTHRIDGE, CA	06/06/2012 - 05/26/2016

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

Employment 1 of 2

Firm Name: **BANKERS LIFE SECURITIES, INC.**
Main Address: 303 E WACKER DRIVE
STE 500
CHICAGO, IL 60601
Firm ID#: 173962

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	05/26/2016
B FINRA	General Securities Representative	Approved	05/21/2018
B Arizona	Agent	Approved	06/28/2021
B California	Agent	Approved	05/26/2016
B Colorado	Agent	Approved	12/23/2025
B District of Columbia	Agent	Approved	11/15/2018
B Florida	Agent	Approved	03/21/2024
B Hawaii	Agent	Approved	05/10/2022
B Idaho	Agent	Approved	06/22/2021
B Kentucky	Agent	Approved	10/29/2025
B Nevada	Agent	Approved	10/21/2021
B New York	Agent	Approved	01/02/2019
B Oregon	Agent	Approved	03/21/2024



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	09/16/2021
B Washington	Agent	Approved	01/02/2019
B West Virginia	Agent	Approved	09/27/2022

Branch Office Locations

5805 Sepulveda Blvd Suite 800
Sherman Oaks, CA 91411

Employment 2 of 2

Firm Name: **BANKERS LIFE ADVISORY SERVICES, INC.**
 Main Address: 303 E. WACKER DRIVE
 STE 500
 CHICAGO, IL 60601
 Firm ID#: 281285

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	08/01/2025
IA Colorado	Investment Adviser Representative	Approved	08/01/2025
IA Florida	Investment Adviser Representative	Approved	08/22/2025
IA Hawaii	Investment Adviser Representative	Approved	08/01/2025

Branch Office Locations

BANKERS LIFE ADVISORY SERVICES, INC.
 5805 Sepulveda Blvd Ste 800
 Sherman Oaks, CA 91411



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
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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	05/21/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/05/2012

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	07/25/2025
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/16/2012

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	06/06/2012 - 05/26/2016	PROEQUITIES, INC.	CRD# 15708	NORTHRIDGE, CA

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
05/2016 - Present	Bankers Life Securities, INC.	Financial Representative	Y	Sherman Oaks, CA, United States
11/2008 - Present	Bankers Life and Casualty Co.	Insurance agent	N	Sherman Oaks, CA, United States
11/2008 - 01/2018	BANKERS LIFE & CASUALTY	AGENT	N	NORTHRIDGE, CA, 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.

BANKERS LIFE & CASUALTY

POSITION: AGENT NATURE: SELL ANNUITIES, LIFE INSURANCE, LONG TERM CARE INVESTMENT RELATED: NO NUMBER OF HOURS: 200 INVESTMENT RELATED HOURS: 120 START DATE: 11/17/2008 ADDRESS: Sherman OaksCA 91324 DESCRIPTION: AGENT SALES OF ANNUITIES, LIFE INSURANCE, LONG TERM CARE, EIA's.

BANKERS LIFE AND CASUALTY

POSITION: Insurance agent NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 200 SECURITIES TRADING HOURS: 120 START DATE: 11/17/2008 ADDRESS: 9301 Corbin Ave Suite 1000, Northridge CA 91324, United States DESCRIPTION: SELL ANNUITIES, LIFE INSURANCE, LONG TERM CARE, EIA

GREYSTONE CAPITAL LLC

POSITION: owner/landlord NATURE: real estate INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 02/01/2018 ADDRESS: 7507 Graystone Dr, West Hills CA 91304, United States DESCRIPTION: owner/landlord of the LLC

GRIGOR&CO

POSITION: owner NATURE: marketing and management INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 05/28/2019 ADDRESS: 4814 Hasekian DR, Tarzana CA 91304, United States DESCRIPTION: marketing and management



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: Bankers Life Securities, Inc. and Bankers Life Casualty and Company

Allegations: In a written complaint, dated June 18, 2020, addressed to Bankers Life and Casualty Company (BLC), an insurance company affiliate of the Firm and received by the Firm on June 22, 2020, complainants alleged that a Long Term Health Care (LTC) policy purchased from BLC in 2013 was changed without their knowledge or consent and the initials on the policy change were forged. In the same complaint, it was also alleged that a Jackson National Variable Annuity purchased through Bankers Life Securities, Inc. in August of 2019 was unsuitable and contrary to their investment objectives and risk tolerance. On June 24, 2020, the complainants sent a rescission letter stating that the financial representative did not mislead them as to their investments and they had no complaints related to their investments made with the financial representative. Although the Firm's affiliated company, BLC found no affirmative finding of forgery and closed as they did not find the complaint was actionable, the decision was made to settle the LTC Policy claim with the client. The financial representative was not involved, nor had any say in the decision to settle the dispute. BLC acted on what it believed, to be in its best interest, to settle the dispute.

Product Type: Annuity-Variable Insurance

Alleged Damages: \$3,602.00

Is this an oral complaint? No

Is this a written complaint? Yes



**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 06/22/2020

Complaint Pending? No

Status: Settled

Status Date: 09/27/2020

Settlement Amount: \$11,302.00

**Individual Contribution
Amount:** \$0.00



End of Report

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