



## IAPD Report

# Greg P Gooch

CRD# 6139842

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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

### Greg P Gooch (CRD# 6139842)

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 **09/19/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	04/02/2025
<b>IA</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	05/16/2025

### QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **3** 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
Criminal	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 3 jurisdiction(s) and 6 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
Main Address: ONE BRYANT PARK  
NEW YORK, NY 10036  
Firm ID#: 7691

Regulator	Registration	Status	Date
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	04/02/2025
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/02/2025
B Cboe Exchange, Inc.	General Securities Representative	Approved	04/02/2025
B FINRA	General Securities Representative	Approved	04/03/2025
B Nasdaq Stock Market	General Securities Representative	Approved	04/02/2025
B New York Stock Exchange	General Securities Representative	Approved	04/02/2025
B Connecticut	Agent	Approved	08/15/2025
B Maine	Agent	Approved	05/16/2025
IA Maine	Investment Adviser Representative	Approved	05/16/2025
B New York	Agent	Approved	09/21/2025

### Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH  
INCORPORATED**  
1 MONUMENT SQ  
PORTLAND, ME 04101



## 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 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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<b>B</b> General Securities Representative Examination (S7TO)	Series 7TO	04/02/2025
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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	11/26/2024
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	05/06/2025
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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:

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
02/2025 - Present	Bank of America, N.A.	Team Financial Advisor Trainee - BD	Y	Portland, ME, United States
10/2024 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Team Financial Advisor Trainee - BD	Y	Portland, ME, United States
04/2022 - 10/2024	The Prentice Org	Vice President - Real Estate Dev.	N	Portland, ME, United States
11/2012 - 04/2022	FIRST REPUBLIC BANK	Relationship Manager	Y	NEW YORK, NY, 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.

I\*: 2070291

Entity Type: Rental Property

Name of OBA: Rental Property 1

Address: Raymond Maine, ME 04071

Investment Related: No

Position, Title, Association: Co-owner with other family members

Employee Start Date: 10/31/2024

Number of Hours: 1 hr mthly

Number of Hours during trading: 0

Duties: Co-owner with other family members of rental property

I\*: 2070292

Entity Type: Rental Property

Name of OBA: Rental Property 2

Address: Coudersport, PA 16915

Investment Related: No

Position, Title, Association: Sole owner

Employee Start Date: 10/31/2024

Number of Hours: 1 hr mthly

Number of Hours during trading: 0

Duties: Owner of rental property



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Twelve Maine Restaurant - Minority (LP) Partner 22 - Pre. .25 (1/4) hrs.

LP Investments not related to the Financial Industry. Mostly early stage all LP positions.

PF Marina 2020

PV Neighbor 2021

PV Beam LLC 2021

Jordanelle Capital Fund I LP 2021

PF OZ Fund, LLC2021

HOF Capital GI Fund II, LP2022

CV QOZ Partners Series C. LP 2020

AQR Tax Aware Delphi Long Short Equity Fund, LLC 2020

Riptide Water, LLC 2019

The Equiam Private Alpha Fund, LP2021

Blue Seed Collective III, LP 2023

Stonecutter Opportunity Fund LP 2021

Stonecutter Multifamily Fund LP2021

Tribe Capital V, LLC Series 10 2021

Tribe Capital V, LLC Series 22021

URS CCP OZ LLC 2021

348 Hudson River Partners LLC2021

Clave2022

Ember Technologies Inc. 2022

Optelos Inc 2021

Virtuix Holdings Inc 2021

DCDT, LLC 2021

Spark Collective LLC 2021

Addepar 2022

Blue Seed Collective II, LP Approved2021

Clarion Ventures Qualified Opportunity Zone Partners Class C 2020

AQR Tax Aware Delphi Long Short Equity Fund LLC 2021

Vibrant Building Technologies, LLC2024

\*2561263, Entity Type: , Name of OBA: North Yarmouth Academy, Address: Yarmouth, Maine, 04096, Investment Related: N, Position, Title, Association: Board Member, Employee State Date: 07/01/2025, No Hours: 12 Yearly, No Hours during Trading: 0 Yearly, Duties: We meet 6-8 times a year + sub committees to advise the NYA leadership. Day and boarding school located in Yarmouth Maine. Established in 1814, North Yarmouth Academy is a coeducational college preparatory day school for toddlers to students in grade 12 plus a postgraduate program. Our 20+ acre campus is located in the coastal town of Yarmouth, Maine just ten minutes from Portland. We are a traditional New England prep school with a campus dotted with traditional brick buildings, a modern science center, playing fields, and our own ice arena where our ice hockey teams compete in the Prep League (NEPSAC). NYA attracts students who value new and challenging academic experiences and who seek the satisfaction and reward that come from dedication, commitment, and hard work.



## 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
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Criminal	1
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### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>If charge(s) were brought against an organization over which individual exercised control:</b>	
<b>Organization Name:</b>	NOT APPLICABLE
<b>Investment Related Business:</b>	No
<b>Position:</b>	STUDENT
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	DISTRICT COURT OF MARYLAND
<b>Location of Court:</b>	DISTRICT COURT FOR WORCESTER COUNTY
<b>Docket/Case #:</b>	5I00006494
<b>Charge Date:</b>	08/16/1995
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	THEFT: LESS THAN \$300 VALUE.
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	OTHER PLEA
<b>Disposition of charge:</b>	NOLLE PROSEQUI - UNWILLING TO PURSUE
<b>Current Status:</b>	Final
<b>Status Date:</b>	08/06/1995



**Disposition Date:** 09/27/1995

**Sentence/Penalty:** NONE. I WAS NOT REQUIRED TO RETURN OR ATTEND A COURT PROCEEDING AS THERE WAS NO CASE.

**Broker Statement** THE OCEAN CITY DISTRICT COURT ISSUED AN 'NOLLE PROSEQUI' (UNWILLING TO PURSUE) DISPOSITION. ALL CHARGES WERE DROPPED AND TO MY KNOWLEDGE NO PLEA WAS ISSUED OR REQUIRED. IN ADDITION, I WAS NOT REQUIRED TO RETURN OR ATTEND A COURT PROCEEDING AS THERE WAS NO CASE.



## End of Report

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