



IAPD Report

Greggory William Brant

CRD# 6255725

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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

Gregory William Brant (CRD# 6255725)

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 **05/16/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SOWELL MANAGEMENT	CRD# 127145	04/22/2024

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
IA	ATLANTIC WEALTH PARTNERS, LLC	289440	JUPITER, FL	06/04/2019 - 05/16/2024
B	J.P. MORGAN SECURITIES LLC	79	PALM BEACH GARDENS, FL	10/29/2018 - 05/23/2019
IA	J.P. MORGAN SECURITIES LLC	79	PALM BEACH GARDENS, FL	10/29/2018 - 05/23/2019

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

Employment 1 of 1

Firm Name: **SOWELL MANAGEMENT**
Main Address: 5320 NORTSHORE DRIVE
NORTH LITTLE ROCK, AR 72118
Firm ID#: 127145

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	04/22/2024

Branch Office Locations

SOWELL MANAGEMENT
1501 Belvedere Rd, Suite 500
West Palm Beach, FL 33406

SOWELL MANAGEMENT
500 University Blvd
Suite 205
Jupiter, FL 33458



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
B Securities Industry Essentials Examination (SIE)	SIE	06/01/2018
B General Securities Representative Examination (S7)	Series 7	10/14/2013

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	10/29/2013



PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	06/04/2019 - 05/16/2024	ATLANTIC WEALTH PARTNERS, LLC	CRD# 289440	JUPITER, FL
B	10/29/2018 - 05/23/2019	J.P. MORGAN SECURITIES LLC	CRD# 79	PALM BEACH GARDEN:
IA	10/29/2018 - 05/23/2019	J.P. MORGAN SECURITIES LLC	CRD# 79	PALM BEACH GARDEN:
IA	02/08/2017 - 06/01/2018	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	PALM BEACH GARDEN:
B	02/07/2017 - 06/01/2018	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	PALM BEACH GARDEN:
IA	09/16/2014 - 01/31/2017	ALLIANCEBERNSTEIN L.P.	CRD# 108477	WEST PALM BEACH, FL
B	09/09/2014 - 01/31/2017	SANFORD C. BERNSTEIN & CO., LLC	CRD# 104474	WEST PALM BEACH, FL
IA	03/24/2014 - 09/04/2014	J.P. MORGAN SECURITIES LLC	CRD# 79	DELRAY BEACH, FL
B	03/18/2014 - 09/04/2014	J.P. MORGAN SECURITIES LLC	CRD# 79	DELRAY BEACH, FL
IA	11/05/2013 - 02/25/2014	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	PALM BEACH GARDEN:
B	10/14/2013 - 02/25/2014	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	PALM BEACH GARDEN:

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
04/2024 - Present	Sowell Management	Investment Advisor Representative	Y	West Palm Beach, FL, United States
06/2019 - 04/2024	ATLANTIC WEALTH PARTNERS, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	JUPITER, FL, United States
06/2019 - 04/2024	PRUDENT INSURANCE, L.L.C.	INSURANCE AGENT	Y	JUPITER, FL, United States
10/2018 - 05/2019	JPMORGAN CHASE BANK, N.A.	FINANCIAL ADVISOR	Y	PALM BEACH GARDENS, FL, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location State
10/2018 - 05/2019	JPMORGAN SECURITIES, LLC.	FINANCIAL ADVISOR	Y	PALM BEACH GARDENS, FL, United States
06/2018 - 10/2018	UNEMPLOYED	NA	N	WEST PALM BEACH, FL, United States
01/2017 - 05/2018	Ameriprise Financial Services, Inc.	REGISTERED REPRESENTATIVE	Y	Palm Beach Gardens, FL, United States
08/2014 - 01/2017	SANFORD C. BERNSTEIN & CO., LLC	PRIVATE CLIENT ASSOCIATE	Y	WEST PALM BEACH, FL, 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) Florida Producer Insurance License with variable annuity and health lines of authority; Investment-Related; Starting: 09/2013; Life, Health, and variable annuity insurance agent; spends approx. 5 hrs a month during trading hours; maintains appointments with various insurance companies and receives commissions and other compensation on insurance sales.
- 2) GKB Capital, LLC, 1501 Belvedere Rd., Suite 500, West Palm Beach, FL 33406; investment-related; authorized member/owner; Starting: 12/2023; spends approx. 2 hrs a month outside trading hours; personal real-estate investments
- 3) GWB Capital, LLC, 1501 Belvedere Rd., Suite 500, West Palm Beach, FL 33406; investment-related; authorized member/owner; Starting: 04/2024; DBA used to provide and market insurance and financial services, investment advisory services offered through Sowell 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
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:	Firm
Firm Name:	ATLANTIC WEALTH PARTNERS, LLC
Termination Type:	Permitted to Resign
Termination Date:	04/15/2024
Allegations:	BREACH OF FIRM WRITTEN POLICIES AND PROCEDURES; FAILURE TO DISCLOSE AND REPORT PERSONAL INVESTMENT ACCOUNTS AND PERSONAL SECURITIES TRANSACTIONS; FAILURE TO DISCLOSE OUTSIDE BUSINESS ACTIVITIES; MISAPPROPRIATION OF TRADE SECRETS; UNLAWFUL AND WRONGFUL USE AND DISCLOSURE OF CLIENT PERSONAL INFORMATION.
Product Type:	Other: PRIVATE PLACEMENT
Firm Statement	THE FIRM COMMENCED A GENERAL REVIEW OF THE OVERALL EFFECTIVENESS OF ITS EXISTING POLICIES AND PROCEDURES IN THE FIRST QUARTER OF 2024, INCLUDING A REVIEW OF COMPLIANCE WITH SUCH POLICIES AND PROCEDURES BY ITS EMPLOYEES, INCLUDING MR. BRANT. AS PART OF THIS GENERAL REVIEW, THE FIRM CONDUCTED AN INVESTIGATION INTO MR. BRANT'S HANDLING OF CLIENT INFORMATION AND ACCOUNTS FOLLOWING ITS DISCOVERY OF A PREVIOUSLY UNDISCLOSED OUTSIDE BUSINESS ACTIVITY OF MR. BRANT AND HIS FORMATION OF A NEW BUSINESS ENTITY WHICH APPEARED TO HAVE BEEN FORMED FOR THE EXPRESS PURPOSE OF COMPETING WITH THE FIRM. THE FIRM FURTHER DISCOVERED MR. BRANT'S FAILURE TO DISCLOSE THE EXISTENCE OF CERTAIN HELD AWAY PERSONAL INVESTMENT ACCOUNTS AND HIS FAILURE TO DISCLOSE HIS PERSONAL TRADING IN SUCH ACCOUNTS. THE REVIEW INCLUDED EXAMINATION OF FIRM COMMUNICATIONS RECORDS AND CLIENT FILES, AN INDEPENDENT FORENSIC EXAMINATION OF MR. BRANT'S FIRM-ISSUED ELECTRONIC DEVICES, MULTIPLE INTERVIEWS OF MR. BRANT, AND INTERVIEWS OF



ADVISORY CLIENTS TO WHOM MR. BRANT PROVIDED INVESTMENT ADVISORY SERVICES.

IT WAS DETERMINED BASED ON FORENSIC COMPUTER EVIDENCE AND OTHER INVESTIGATIVE EFFORTS THAT MR. BRANT HAD, AMONG OTHER WRONGFUL ACTIVITIES, (1) MISAPPROPRIATED THE FIRM'S TRADE SECRETS (IN ANTICIPATION OF FORMING A COMPETING BUSINESS OR JOINING A COMPETING BUSINESS), (2) BREACHED HIS OBLIGATION OF CONFIDENTIALITY REGARDING CLIENT INFORMATION, INCLUDING PERSONAL NON-PUBLIC INFORMATION, (3) MADE FALSE STATEMENTS OF FACT OR OMITTED MATERIAL FACTS REGARDING INVESTMENT PRODUCTS AND SERVICES TO CLIENTS AND/OR FAILED TO SUPPLY INFORMATION TO CLIENTS, AND (4) OTHERWISE FAILED TO MATERIALLY COMPLY WITH THE FIRM'S WRITTEN POLICIES AND PROCEDURES, ALL IN VIOLATION OF VARIOUS INVESTMENT-RELATED PRIVACY LAWS AND/OR INDUSTRY STANDARDS OF CONDUCT AND HIS EMPLOYMENT CONTRACT WITH THE FIRM.

MR. BRANT RESIGNED WHILE UNDER INVESTIGATION ON APRIL 15, 2024. HAD HE NOT DONE SO, HE WOULD HAVE BEEN TERMINATED WITH CAUSE BY THE FIRM FOR HIS WRONGFUL ACTIVITIES AND VIOLATION OF VARIOUS INVESTMENT-RELATED PRIVACY LAWS AND/OR INDUSTRY STANDARDS OF CONDUCT AND HIS EMPLOYMENT CONTRACT WITH THE FIRM.



End of Report

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