



IAPD Report

JOHN ROBERT GILLING

CRD# 724969

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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

JOHN ROBERT GILLING (CRD# 724969)

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 **01/09/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LANDOLT SECURITIES, INC.	CRD# 28352	03/15/2013
IA	LANDOLT SECURITIES, INC.	CRD# 28352	10/14/2014

QUALIFICATIONS

This representative is currently registered in **1** 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
IA	PREMIER FINANCIAL SERVICES	166202	BROOKFIELD, WI	12/14/2012 - 12/31/2021
IA	SAXONY CAPITAL MANAGEMENT, LLC	122692	BROOKFIELD, WI	08/02/2007 - 02/14/2013
B	SAXONY SECURITIES, INC.	115547	BROOKFIELD, WI	07/27/2004 - 02/14/2013

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	2
Customer Dispute	4



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 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LANDOLT SECURITIES, INC.**
Main Address: 900 NORTH SHORE DRIVE SUITE 279
LAKE BLUFF, IL 60044
Firm ID#: 28352

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	03/15/2013
	FINRA	General Securities Representative	Approved	03/15/2013
	FINRA	Direct Participation Programs	Approved	03/20/2013
	Illinois	Agent	Approved	03/18/2024
	Wisconsin	Agent	Approved	04/05/2013
	Wisconsin	Investment Adviser Representative	Approved	10/14/2014

Branch Office Locations

LANDOLT SECURITIES, INC.
2525 N. 124th St.
Suite 102
Brookfield, WI 53005




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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	10/20/1989

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	08/21/1982
	Direct Participation Programs Representative Examination (S22)	Series 22	04/22/1981
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/02/1981

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/12/2007
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/23/1981

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
IA	12/14/2012 - 12/31/2021	PREMIER FINANCIAL SERVICES	CRD# 166202	BROOKFIELD, WI
IA	08/02/2007 - 02/14/2013	SAXONY CAPITAL MANAGEMENT, LLC	CRD# 122692	BROOKFIELD, WI
B	07/27/2004 - 02/14/2013	SAXONY SECURITIES, INC.	CRD# 115547	BROOKFIELD, WI
B	11/29/1999 - 08/05/2004	BIRKELBACH INVESTMENT SECURITIES, INC.	CRD# 11490	CHICAGO, IL
B	03/15/1989 - 11/04/1999	GENEVA SECURITIES, INC.	CRD# 16178	SCHAUMBURG, IL
B	03/06/1981 - 02/14/1989	EQUABLE SECURITIES CORPORATION	CRD# 7405	

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
03/2013 - Present	Landolt Securities, Inc.	Registered Representative	Y	Antioch, IL, United States
12/2012 - Present	JRG FINANCIAL ADVISORS, INC.	PRESIDENT - CCO	Y	BROOKFIELD, WI, 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.

PRESIDENT OF PREMIER FINANCIAL SERVICES: ACCOUNTING 16800 W. GREENFIELD AVE. BROOKFIELD WI, 53005, ACCOUNTING/TAX PREPARATION, DURING NORMAL BUSINESS HOURS, 20 HOURS/MO, COMMISSION/COMPENSATION. Also an insurance agent selling life, health, property, casualty, and annuities through National Life Group started in 2012. I am cotrustee for my deceased mothers trust account.



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	2
Customer Dispute	4

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	WISCONSIN
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	CENSURE PROHIBITION REVOCATION OF EXEMPTIONS
Date Initiated:	05/24/2002
Docket/Case Number:	S-99308(LX)
Employing firm when activity occurred which led to the regulatory action:	GENEVA SECURITIES INC
Product Type:	Other
Other Product Type(s):	PROMISSORY NOTES
Allegations:	FRAUD IN THE OFFER AND SALE OF UNREGISTERED PROMISSORY NOTES TOTALING OVER \$2 MILLION IN FACE VALUE TO AT LEAST 50 PEOPLE IN WISCONSIN.
Current Status:	Final
Resolution:	Order
Resolution Date:	05/24/2002
Regulator Statement	FROM JANUARY 1995 THROUGH SEPTEMBER 1998, GILLING OFFERED AND SOLD OVER \$2 MILLION IN FACE VALUE OF UNREGISTERED PROMISSORY



NOTES OF GENEVA SECURITIES INC, GSI INVESTMENT GROUP INC., GSI TRADING CORP., AND GSI INVESTMENT CORP. TO AT LEAST 50 PEOPLE IN WISCONSIN WITHOUT HAVING ANY INFORMATION WHATSOEVER ABOUT ANY OF THE COMPANIES ISSUING THE NOTES. TOLD INVESTORS THEY WERE "SAFE AS A CD" AND DID NOT PROVIDE INVESTORS WITH A PROSPECTUS.

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Reporting Source: Individual

Regulatory Action Initiated By: WISCONSIN DEPT. OF SECURITIES

Sanction(s) Sought: Prohibition

Other Sanction(s) Sought: AND SUSPENSION

Date Initiated: 05/24/2002

Docket/Case Number: S-99308(LX)

Employing firm when activity occurred which led to the regulatory action: GENEVA SECURITIES

Product Type: Debt - Corporate

Other Product Type(s):

Allegations: UNSUITABLE CUSTOMERS FOR NOTES

Current Status: Final

Resolution: Consent

Resolution Date: 05/10/2002

Sanctions Ordered: Suspension

Other Sanctions Ordered: 6 WEEK SUSPENSION AND CAN NOT APPLY FOR REGISTRATION AS INVESTMENT ADVISOR IN STATE OF WI FOR 10YEARS

1 YEAR OF SPECIAL SUPERVISORY STARTING 1/13/2000 AND ENDING 1/12/2001

Sanction Details: REG REP SUSPENSION 6 WEEKS

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/21/1986

Docket/Case Number: CHI-878-AWC

Employing firm when activity occurred which led to the regulatory action: EQUABLE SECURITIES CORPORATION

**Product Type:****Other Product Type(s):****Allegations:****Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)**Resolution Date:** 03/21/1986**Sanctions Ordered:** Censure
Monetary/Fine \$500.00
Suspension**Other Sanctions Ordered:****Sanction Details:****Regulator Statement** ENTERED 4/7/86:

ON MARCH 21, 1986, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. CHI-878-AWC (DISTRICT NO. 8) SUBMITTED BY RESPONDENT JOHN R. GILLING WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$500.00, AND RETROACTIVELY SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY FOR FIVE (5) BUSINESS DAYS (ARTICLE III, SECTIONS 1 AND 19(e) OF THE RULES OF FAIR PRACTICE - PERSONALLY GUARANTEED CUSTOMERS OF HIS EMPLOYER/MEMBER THAT THEIR INVESTMENTS WOULD OUTPERFORM SIMILAR RATES OF RETURN AVAILABLE AT BANKS AND THAT HE WOULD REIMBURSE SAID CUSTOMERS FOR ANY SHORTFALL OR DIFFERENCE BETWEEN SUCH RATES OF RETURN).

**4/2/86, FC# 9370, PAID IN FULL.

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Reporting Source: Firm**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 03/21/1986**Docket/Case Number:** CHI-878-AWC**Employing firm when activity occurred which led to the regulatory action:** EQUABLE SECURITIES CORPORATION**Product Type:****Other Product Type(s):****Allegations:****Current Status:** Final



Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 03/21/1986

Sanctions Ordered: Censure
Monetary/Fine \$500.00
Suspension

Other Sanctions Ordered:

Sanction Details:

Firm Statement IN EARLY JANUARY, 1983, GILLING GUARANTEED HIS CLIENTS, CHARLES AND GRETCHEN AUGUSTIN AGAINST INVESTMENT LOSS. ON 2/27/84, THE COMPANY COMPLIANCE OFFICER DISCOVERED AN INSTALLMENT CONTRACT AGREEMENT TO PAY FOR THE AUGUSTIN LOSS ON INVESTMENT OVER A TWELVE MONTH PERIOD. A COMPLETE INVESTIGATION BY EQUABLE SECURITIES RESULTED IN A PAYMENT TO THE AUGUSTINS FOR \$3,063.00 ON 2/28/84. THE NASD SUSPENDED GILLING FROM 2/27/84 THROUGH 3/5/84 AND FINED HIM \$500.00. EQUABLE SECURITIES CORPORATION ALSO CHARGED GILLING FOR THE \$3,063.00 SETTLEMENT COST.

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Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought: Suspension

Other Sanction(s) Sought:

Date Initiated: 01/01/1983

Docket/Case Number: CHI-878-AWC

Employing firm when activity occurred which led to the regulatory action: EQUABLE SECURITIES CORPORATION

Product Type: Mutual Fund(s)

Other Product Type(s):

Allegations: GUARANTEED A CUSTOMERS INVESTMENT FROM LOSS

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 03/21/1986

Sanctions Ordered: Censure
Monetary/Fine \$500.00
Suspension

Other Sanctions Ordered: NO OTHER SANCTIONS ORDERED

Sanction Details: FIVE DAY SUSPENSION FROM JANUARY 15, 1983 TO JANUARY 20, 1983. REGISTRATIONS AFFECTED WERE ALL AND ALL SRO'S REGISTERED AT THE TIME. \$500.00 PENALTY WAS PAID 100% WAS PAID BY MR. GILLING. PAID MARCH OF 1986.



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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	saxony securities
Allegations:	unsuitable equity index annuity
Product Type:	Annuity-Fixed
Alleged Damages:	\$3,800.00
Alleged Damages Amount Explanation (if amount not exact):	customer wants withdrawal penalty refunded
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:	06/20/2016
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	customers objectives matches products objectives and I felt this product was suitable at the time of purchase

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	GENEVA SECURITIES
Allegations:	UNSUITABLE INVESTMENTS
Product Type:	Debt-Corporate
Alleged Damages:	\$5,000.00
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: 03/26/2001
Complaint Pending? No
Status: Closed/No Action
Status Date: 08/31/2010
Settlement Amount:
Individual Contribution
Amount:

Disclosure 3 of 4

Reporting Source: Individual
Employing firm when
activities occurred which led
to the complaint: GENEVA SECURITIES
Allegations: "KNOWINGLY" SOLD PROMISSORY NOTES (NOT REGISTERED PURSUANT
TO CHAPTER 551 OF WISC STATUTES)
REP WAS TOLD BY COMPLIANCE DEPT NOTES WERE EXEMPT
Product Type: Other
Other Product Type(s): PROMISSORY NOTES
Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/30/1999
Complaint Pending? No
Status: Litigation
Status Date: 08/22/2000
Settlement Amount:
Individual Contribution
Amount:

Civil Litigation Information

Court Details: FILED CASE 99-C-1508 US DIST COURT EASTERN DIST OF WISC.
Date Notice/Process Served: 08/17/2000
Litigation Pending? No
Disposition: Settled
Disposition Date: 03/01/2001
Monetary Compensation
Amount: \$62,500.00
Individual Contribution
Amount: \$62,500.00

**Disclosure 4 of 4**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: GENEVA SECURITIES, INC.

Allegations: CLIENT ALLEGES AN UNSUITABLE SALE WAS MADE IN THE AMOUNT OF \$10,000 IN A MASTER MORTGAGE LIMITED PARTNERSHIP

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 07/02/1998

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GENEVA SECURITIES, INC.

Allegations: CLIENT ALLEGES AN UNSUITABLE SALE WAS MADE IN THE AMOUNT OF \$10,000 IN A MASTER MORTGAGE LIMITED PARTNERSHIP.

Product Type: Equity-OTC

Alleged Damages: \$10,000.00

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: 07/02/1998

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/31/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement NOT PROVIDED
NOT PROVIDED



End of Report

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