



## IAPD Report

# GREGORY JOHN MISTOVICH

CRD# 823724

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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

### GREGORY JOHN MISTOVICH (CRD# 823724)

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 **09/19/2022**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	VANDERBILT SECURITIES, LLC	CRD# 5953	05/20/2016
<b>IA</b>	VANDERBILT ADVISORY SERVICES	CRD# 116537	05/20/2016

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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>B</b>	BISHOP, ROSEN & CO., INC.	1248	HUDSON, MA	04/01/2014 - 05/20/2016
<b>IA</b>	OPPENHEIMER & CO. INC.	249	BOSTON, MA	08/25/2008 - 04/08/2014
<b>B</b>	OPPENHEIMER & CO. INC.	249	BOSTON, MA	08/22/2008 - 04/08/2014

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
Customer Dispute	1
Judgment/Lien	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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **VANDERBILT SECURITIES, LLC**  
Main Address: 125 FROEHLICH FARM BLVD.  
WOODBURY, NY 11797  
Firm ID#: 5953

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	05/20/2016
<b>B</b>	Florida	Agent	Approved	05/20/2016
<b>B</b>	Massachusetts	Agent	Approved	07/12/2016
<b>B</b>	Nevada	Agent	Approved	02/02/2017
<b>B</b>	New Hampshire	Agent	Approved	05/28/2019
<b>B</b>	Oklahoma	Agent	Approved	05/27/2016
<b>B</b>	Rhode Island	Agent	Approved	01/04/2021
<b>B</b>	Virginia	Agent	Approved	05/20/2016

### Branch Office Locations

1 LINCOLN STRETT  
HUDSON, MA 01749

### Employment 2 of 2

Firm Name: **VANDERBILT ADVISORY SERVICES**  
Main Address: 125 FROEHLICH FARM BLVD.  
WOODBURY, NY 11797  
Firm ID#: 116537



## Qualifications

Regulator	Registration	Status	Date
<b>IA</b> Massachusetts	Investment Adviser Representative	Approved	07/12/2016

### Branch Office Locations

**VANDERBILT ADVISORY SERVICES**  
1 LINCOLN STREET  
HUDSON, MA 01749



## 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, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/19/1989

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
AMEX Put and Call Exam (PC)	PC	09/08/1977
General Securities Representative Examination (S7)	Series 7	06/19/1976

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	05/05/2006
Uniform Securities Agent State Law Examination (S63)	Series 63	04/14/1981

### 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
B	04/01/2014 - 05/20/2016	BISHOP, ROSEN & CO., INC.	CRD# 1248	HUDSON, MA
IA	08/25/2008 - 04/08/2014	OPPENHEIMER & CO. INC.	CRD# 249	BOSTON, MA
B	08/22/2008 - 04/08/2014	OPPENHEIMER & CO. INC.	CRD# 249	BOSTON, MA
IA	07/02/2003 - 08/22/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	WALTHAM, MA
B	07/01/2003 - 08/22/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	WALTHAM, MA
B	04/27/1999 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	11/11/1982 - 04/05/1999	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	09/26/1978 - 11/29/1982	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	06/24/1976 - 09/26/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

### 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	VANDERBILT ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	Woodbury, NY, United States
05/2016 - Present	VANDERBILT SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	Woodbury, 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.

1) Mistovich, Gregory, Nature Of the Business: Fixed Insurance Sales Located at: 1 Lincoln Street, Hudson, MA 01749. Investment Related. Start Date: 09/20/2020. Position: Owner. Rental Income. Percentage Of Time spent: 5%.



## 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
Customer Dispute	1
Judgment/Lien	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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Massachusetts
<b>Sanction(s) Sought:</b>	Undertaking
<b>Date Initiated:</b>	07/12/2016
<b>Docket/Case Number:</b>	R-2016-0072
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Vanderbilt Securities, LLC & PFG Investments, LLC
<b>Product Type:</b>	No Product

**Allegations:** On or about May 20, 2016, Vanderbilt submitted to the CRD of FINRA a Uniform Application for Securities Industry Registration or Transfer (the "Application") seeking registration of Mistovich as a broker-dealer agent in Massachusetts. Additionally, PFG Investments, LLC d/b/a Vanderbilt Advisory Services filed with the Massachusetts Securities Division (the "Division") an application to register Mistovich as an investment adviser representative in Massachusetts. Mistovich has experienced financial distress, as reported on the CRD. In 2011, Worcester Superior Court entered a judgment for Wells Fargo Bank, NA against Mistovich in the sum of \$100,580.83 with interest in the sum of \$26,123.61, which remains outstanding and subject to a payment plan. The above-stated disclosure incident regarding Mistovich moved the Division to place conditions on his registrations as a broker-dealer agent of Vanderbilt and as an investment advisor representative of Vanderbilt Advisory Services.



**Current Status:** Final

**Resolution:** Consent

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 07/12/2016

**Sanctions Ordered:** Undertaking  
Other: Vanderbilt shall submit Mistovich to a series of annual credit checks, to be conducted and administered by Vanderbilt, for a period of two (2) years from the date of entry of the Order, or, until such time as no further financial obligations of Mistovich represented by liens that remain outstanding or unsatisfied. Records of the results of such credit checks shall be maintained in Mistovich's personnel file.

**Regulator Statement** Mistovich shall be supervised, on a heightened basis.  
.....

**Reporting Source:** Individual

**Regulatory Action Initiated By:** Massachusetts

**Sanction(s) Sought:** Undertaking

**Date Initiated:** 07/22/2016

**Docket/Case Number:** R-2016-0072

**Employing firm when activity occurred which led to the regulatory action:** Bishop Rosen

**Product Type:** No Product

**Allegations:** RR experienced financial distress as reported on the CRD for a judgement in 2011 and is subject to a payment plan. This situation caused Massachusetts Division to request heightened supervision.

**Current Status:** Final

**Resolution:** Consent

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 07/12/2016

**Sanctions Ordered:** Undertaking  
Other: Heightened Supervision for 2 years.



## 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:** DEAN WITTER

**Allegations:** CUSTOMER ALLEGED TAHT I RECOMMENDED SHARES OF GLOBAL MARINE AND MARINE DRILLING SO AS TO GENERATE COMMISSIONS, AND THAT THESE SHARES DECLINED OVER \$10,000 SINCE PURCHASE.

**Product Type:**

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 11/20/1998

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

PENDING  
I MAINTAINED AN ACCOUNT RELATIONSHIP WITH CUSTOMER FOR OVER 10 YEARS. HE TURNED ON HIS OWN MORE AGGRESSIVE AND TRADING ORIENTAL AS TIME PASSED DESPITE MY RECOMMENDATION TO BUY AND HOLD GOOD QUALITY STOCKS FOR AT LEAST 1 TO 3 YEARS. HE REGULARLY SOUGHT MY STOCK IDEAS AND I OBLIGED, USUALLY WITH DEAN WITTER RESEARCH IDEAS. HE SOLD MICROSOFT UNSOLICITED TO BUY GLOBAL MARINE(DWR STRONG BUY) AND MARINE DRILLING (DWR STRONG BUY). THEY HAVE DECLINED SINCE THE ASIAN CRISIS ALONG WITH THE PRICE OF OIL. DEAN WITTER RECOMMENDED THEM TO DOUBLE IN PRICE. I CLEARLY RECOMMENDED THEM FOR THE LONG TERM.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	WELLS FARGO BANK NA
<b>Judgment/Lien Amount:</b>	\$132,267.89
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	10/31/2011
<b>Date Individual Learned:</b>	06/21/2012
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	WORCESTER SUPERIOR COURT
<b>Location of Court:</b>	WORCESTER, MA
<b>Docket/Case #:</b>	WCOV2011-02171
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	OPPENHEIMER (MY FORMER EMPLOYER) BOSTON BRANCH COMPLIANCE OFFICER WAS AWARE OF THE JUDGMENT. WE BOTH MISUNDERSTOOD THE REPORTING REQUIREMENT BECAUSE MASSACHUSETTS RULE 62D AND MASSACHUSETTS GENERAL LAW 235 SECTION 116 SAYS "NO EXECUTION UNTIL EXHAUSTION OF APPEAL." A MOTION FOR REHEARING IS BEFORE THE MASSACHUSETTS APPEALS COURT, AND A MOTION FOR FURTHER APPELLATE REVIEW IS BEFORE THE MASSACHUSETTS SUPREME JUDICIAL COURT. THE SUPERIOR COURT DISMISSED COUNTERCLAIM BY MISTOVICH AND AFFIRMED JUDGEMENT AGAINST MISTOVICH IN THE AMOUNT OF 100,580.83 WITH INTEREST FROM 6/16/12 TO 8/15/14 IN THE SUM OF 26,123.61 AND COURT COSTS, WHICH EQUAL THE TOTAL JUDGMENT OF \$132,267.89. MONTHLY PAYMENTS ARE BEING MADE BY RR.



## End of Report

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