User Guidance

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IAPD Report

GREGORY BURTON OQUIN

CRD# 873665

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 BURTON OQUIN (CRD# 873665)

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 **01/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LPL FINANCIAL LLC	CRD# 6413	10/01/2019
B	LPL FINANCIAL LLC	CRD# 6413	10/02/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	FSC SECURITIES CORPORATION	7461	ALEXANDRIA, LA	05/26/2005 - 10/03/2019
IA	FSC SECURITIES CORPORATION	7461	ALEXANDRIA, LA	05/26/2005 - 10/03/2019
IA	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	ALEXANDRIA, LA	05/14/1992 - 05/27/2005

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

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	10/02/2019
B	FINRA	General Securities Representative	Approved	10/02/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	10/02/2019
B	Alabama	Agent	Approved	10/04/2019
B	Arizona	Agent	Approved	09/05/2025
B	Arkansas	Agent	Approved	10/02/2019
B	California	Agent	Approved	10/02/2019
B	Colorado	Agent	Approved	10/02/2019
IA	Colorado	Investment Adviser Representative	Approved	06/10/2020
B	Florida	Agent	Approved	10/02/2019
B	Georgia	Agent	Approved	10/18/2019
B	Idaho	Agent	Approved	10/05/2022
B	Illinois	Agent	Approved	12/08/2025

Qualifications

	Regulator	Registration	Status	Date
IA	Louisiana	Investment Adviser Representative	Approved	10/01/2019
B	Louisiana	Agent	Approved	10/02/2019
B	Michigan	Agent	Approved	02/25/2022
B	Mississippi	Agent	Approved	10/02/2019
B	Missouri	Agent	Approved	10/02/2019
B	Nebraska	Agent	Approved	01/29/2026
B	Nevada	Agent	Approved	10/02/2019
B	New Mexico	Agent	Approved	10/02/2019
B	New York	Agent	Approved	10/03/2019
B	North Carolina	Agent	Approved	10/04/2019
B	Ohio	Agent	Approved	05/11/2021
B	Oklahoma	Agent	Approved	11/18/2025
B	Tennessee	Agent	Approved	08/20/2021
B	Texas	Agent	Approved	10/02/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	10/01/2019
B	Virginia	Agent	Approved	01/12/2023
B	Washington	Agent	Approved	10/02/2019

Branch Office Locations

LPL FINANCIAL LLC

Qualifications

128 VERSAILLES BLVD.
ALEXANDRIA, LA 71303

LPL FINANCIAL LLC
WOLCOTT, CO

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, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Direct Participation Programs Representative Examination (S22TO)	Series 22TO	01/02/2023
B	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	10/08/1991
B	Registered Representative Examination (S1)	Series 1	11/04/1979

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/16/2015
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/08/1992

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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
B	05/26/2005 - 10/03/2019	FSC SECURITIES CORPORATION	CRD# 7461	ALEXANDRIA, LA
IA	05/26/2005 - 10/03/2019	FSC SECURITIES CORPORATION	CRD# 7461	ALEXANDRIA, LA
IA	05/14/1992 - 05/27/2005	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	ALEXANDRIA, LA
B	11/13/1979 - 05/27/2005	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	11/13/1979 - 05/27/2005	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	12/28/1981 - 01/03/1989	LINCOLN NATIONAL PENSION INSURANCE COMPANY	CRD# 10293	
B	08/18/1983 - 05/22/1984	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	

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
10/2019 - Present	LPL Financial LLC	Registered Representative	Y	Alexandria, LA, United States
05/2005 - 09/2019	FSC AGENCY	INSURANCE AGENT	Y	ALEXANDRA, LA, United States
05/2005 - 09/2019	FSC SECURITIES CORPORATION	REGISTERED REP/SUPER	Y	ALEXANDRIA, AL, United States
05/2005 - 09/2019	FSC SECURITIES RIA	INVESTMENT ADVISORY REPRESENTATIVE	Y	ALEXANDRIA, LA, United States
01/1977 - 01/2017	SOUTHERN FINANCIAL SERVICES	PRESIDENT	Y	ALEXANDRIA, LA, United States
04/1992 - 12/2016	PVIC	PARTNER	N	ALEXANDRIA, LA, United States

Registration & Employment History

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) 10/1/19- Financial Solutions Group- DBA for LPL Business (entity for LPL business)- Inv. Related- Alexandria, LA - start dat 3/26/2010- 100%
2) 10/1/19- O'Quin Financial Group- DBA for LPL Business (entity for LPL business)- member- Inv. Related- Alexandria, LA - start date 2015- 100%
3) 10/1/19- Baker/Ewing Partnership- Business Entity For Tax/Investment Purposes Only- Inv. Related- Partner - Baton Rouge, LA -start date 8/31/1982- 0%
4) 10/1/19- Lincoln National Life- Non-Variable Insurance Trails Only-Inv. Related- Alexandria, LA- start dat 10/2011- -0%
5) 10/1/19- FSG Holdings, LLC -Business Entity For Tax/Investment Purposes Only -Member - Inv. Related- Alexandria, LA - 0%
6) 10/1/19- Financial Services of Central Louisiana LLC- Business Entity For Tax/Investment Purposes Only- Inv. Related - member- Inv. Related- Alexandria, LA- start date 5/2005-0%
7) 10/1/19- Stinson Resources- Business Entity For Tax/Investment Purposes Only- 50% owner- Inv. Related- Alexandria, LA- start date 1/1994-0%
8) 4/14/2021 - 4th Quarter Financial Group - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 4/13/2021 - 120 Hours Per Month/160 Hours During Securities Trading.
9) 11/22/2024 - Book Author of " 71" Book - Non-Inv. Related- Alexandria, LA- start date 11/22/2024- 0hrs per mth / during trading
10) 12/08/2025 - Greg O'Quin - Other - Author of Fictional Book "Killing Ants" - Author - Not Investment Related - Home Based - Start Date 01/01/2026 - 3 hours per month/ 0 hours during trading

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

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

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/15/1991
Docket/Case Number:	C05910053
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	07/15/1991
Sanctions Ordered:	Censure Monetary/Fine $15,000.00
Other Sanctions Ordered:	
Sanction Details:	

Regulator Statement	ON JULY 15, 1991, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT C05910053 (DISTRICT NO. 5) SUBMITTED BY RESPONDENTS GREGORY B. O'QUIN, CHARLES A. PRINCE AND THOMAS G. EASTERLING, JR. WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED $15,000, JOINTLY AND SEVERALLY; RESPONDENTS O'QUIN AND EASTERLING MUST EACH REQUALIFY AS A GENERAL SECURITIES REPRESENTATIVE AND RESPONDENT PRINCE MUST REQUALIFY AS A GENERAL SECURITIES REPRESENTATIVE WITHIN 120 CALENDAR DAYS OF THE ACCEPTANCE OF THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT - (ARTICLE III, SECTIONS 1 AND 40 OF THE RULES OF FAIR PRACTICE - RESPONDENTS ACTED IN THE CAPACITY OF UNREGISTERED BROKER/DEALERS; AND, ENGAGED IN PRIVATE SECURITIES TRANSACTIONS WITHOUT PROVIDING PRIOR WRITTEN NOTICE TO THEIR MEMBER FIRMS). ***$15,000.00 J&S PAID ON 8/5/91 INVOICE #91-05-850***

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD - NEW ORLEANS DISTRICT OFFICE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/15/1991
Docket/Case Number:	C05910053
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	REVIEW OF SALE OF CLOSELY HELD STOCK, REGISTERED INVESTMENT ADVISER ACTIVITIES
Current Status:	Final
Resolution:	Consent
Resolution Date:	07/15/1991
Sanctions Ordered:	Censure Monetary/Fine $15,000.00
Other Sanctions Ordered:	
Sanction Details:	* I SIGNED A LETTER OF ACCEPTANCE, WAIVER & CONSENT TO SANTIONS OF A CENSURE AND MONETARY FINE IN THE AMOUNT OF $15,000, ASSESSED JOINTLY AND SEVERALLY WITH GREGORY B. O'QUIN, THOMAS G. EASERLING, JR. AND CHARLES A. PRINCE. WE ALL AGREED TO REQUALIFY AS GENERAL SECURITIES REPRESENTATIVES BY TAKING THE SERIES 7 EXAMINATION WITHIN 120 DAYS OF JULY 15,1991. SUCCESSFULLY PASSED THE SERIES 7 EXAM ON 10/8/91.
Broker Statement	NOT PROVIDED

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:	FSC
Allegations:	PLAINTIFFS ALLEGE MISREPRESENTATIONS IN CONNECTION WITH THEIR REIT PURCHASES.
Product Type:	Real Estate Security
Alleged Damages:	$100,000.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	DISTRICT COURT
Location of Court:	CALCA SICU
Docket/Case #:	2011-1295A, 2011-1296F
Date Notice/Process Served:	08/30/2011
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	10/31/2011
Monetary Compensation Amount:	$36,000.00
Individual Contribution Amount:	$0.00
Broker Statement	REPRESENTATIVE WAS INCLUDED AS A THIRD PARTY DEFENDANT IN A LAWSUIT BROUGHT BY A CLIENT AGAINST REIT. THE CASE WAS SETTLED TO AVOID LITIGATION.

End of Report

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