

BrokerCheck Report

GREG ALFRED OVERSCHMIDT

CRD# 1160877

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**GREG A. OVERSCHMIDT**

CRD# 1160877

Currently employed by and registered with the following Firm(s):

IA HUNTLEIGH ADVISORS, INC.
 7800 FORSYTH BLVD.
 5TH FLOOR
 ST. LOUIS, MO 63105
 CRD# 113412
 Registered with this firm since: 01/08/2021

B HUNTLEIGH SECURITIES CORPORATION
 7800 FORSYTH BLVD.
 5TH FLOOR
 ST. LOUIS, MO 63105
 CRD# 7456
 Registered with this firm since: 05/09/2019

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 12 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B K. W. CHAMBERS & CO.**
 CRD# 1432
 CLAYTON, MO
 04/1992 - 01/2025
- IA DATATEX INVESTMENT SERVICES INC**
 CRD# 105440
 CLAYTON, MO
 10/1995 - 03/2023
- B FIRST AMERICAN NATIONAL SECURITIES, INC.**
 CRD# 10111
 DULUTH, GA
 07/1983 - 04/1992

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 12 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **HUNTLEIGH ADVISORS, INC.**

Main Office Address: **7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105**

Firm CRD#: **113412**

	U.S. State/ Territory	Category	Status	Date
IA	Alaska	Investment Adviser Representative	Approved	12/11/2023
IA	Illinois	Investment Adviser Representative	Approved	01/14/2021
IA	Missouri	Investment Adviser Representative	Approved	01/08/2021
IA	Nevada	Investment Adviser Representative	Approved	03/26/2021
IA	New Mexico	Investment Adviser Representative	Approved	03/22/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	01/03/2025

Branch Office Locations

7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105

7800 Forsyth Blvd
5th Floor
Clayton, MO 63105



Broker Qualifications

Employment 2 of 2

Firm Name: **HUNTLEIGH SECURITIES CORPORATION**

Main Office Address: **7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105**

Firm CRD#: **7456**

	SRO	Category	Status	Date
B	FINRA	Corporate Securities Represent	Approved	05/09/2019
B	FINRA	General Securities Principal	Approved	05/09/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	05/09/2019
B	FINRA	Investment Co./Variable Contracts Prin	Approved	05/09/2019
B	FINRA	Operations Professional	Approved	05/09/2019

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	06/21/2019
B	Colorado	Agent	Approved	05/14/2019
B	Indiana	Agent	Approved	07/12/2019
B	Iowa	Agent	Approved	09/10/2019
B	Kansas	Agent	Approved	05/26/2020
B	Missouri	Agent	Approved	05/13/2019
B	New Mexico	Agent	Approved	05/09/2019
B	Virginia	Agent	Approved	07/25/2019
B	Washington	Agent	Approved	06/02/2022

Branch Office Locations

HUNTLEIGH SECURITIES CORPORATION

Broker Qualifications



Employment 2 of 2, continued

7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	05/02/2001
B Investment Company Products/Variable Contracts Principal Examination	Series 26	10/22/1986

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Corporate Securities Limited Representative Examination	Series 62	02/08/1993
B Investment Company Products/Variable Contracts Representative Examination	Series 6	07/19/1983

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/17/2007
B Uniform Securities Agent State Law Examination	Series 63	07/19/1983

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 04/1992 - 01/2025	K. W. CHAMBERS & CO.	1432	CLAYTON, MO
IA 10/1995 - 03/2023	DATATEX INVESTMENT SERVICES INC	105440	CLAYTON, MO
B 07/1983 - 04/1992	FIRST AMERICAN NATIONAL SECURITIES, INC.	10111	DULUTH, GA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
11/2009 - Present	HUNTLEIGH SECURITIES CORPORATION	DIRECTOR	Y	ST. LOUIS, MO, United States
04/1992 - Present	K. W. CHAMBERS & CO.	PRESIDENT	Y	ST. LOUIS, MO, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) GAO CONSULTING, LLC, 12/2004. ST. LOUIS, MO.; OWNER; PERSONAL REAL ESTATE INVESTING & DEVELOPING, 08/2004; UNION, MO NON-INVESTMENT RELATED; (2) DOMUS SOLIS, LLC, 6/2018 ISLE OF CAPRI, FL, REAL ESTATE, 12-15 HOURS PER YEAR-PART OWNER, NON-INVESTMENT RELATED; (3) 4 HEALTH FARMS, LLC; CATTLE RANCH; NOT SECURITIES RELATED; PART OWNER; TIME: 2 HOURS PER MONTH; (4) SOC, LLC; REAL ESTATE INVESTMENTS; NOT SECURITIES RELATED; PART OWNER/MANAGING MEMBER; TIME: 5 HOURS PER WEEK; (5) K.W. CHAMBERS & CO., ST. LOUIS, MO; INSURANCE SALES; PRESIDENT; TIME: 15 HOURS PER WEEK; (6) HUNTLEIGH ADVISORS, INC.; INVESTMENT-RELATED; SEC REGISTERED INVESTMENT ADVISOR; ST. LOUIS, MO; ADVISOR; TIME: 10-20 HOURS PER WEEK

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	06/22/2007
Docket/Case Number:	2005000264401
Employing firm when activity occurred which led to the regulatory action:	K.W. CHAMBERS & CO.
Product Type:	No Product
Allegations:	NASD RULES 2110, 3010(A), 3010(B) - RESPONDENT FAILED TO ESTABLISH, IMPLEMENT AND MAINTAIN A SUPERVISORY SYSTEM REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS, REGULATIONS AND DID NOT HAVE ADEQUATE WRITTEN PROCEDURES TO SUPERVISE THE TYPES OF BUSINESS THE FIRM ENGAGES IN AND TO SUPERVISE THE ACTIVITIES OF REGISTERED REPRESENTATIVES.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a	No



final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Resolution Date: 06/22/2007

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, OVERSCHMIDT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE WAS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN A PRINCIPAL OR SUPERVISORY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IN A PRINCIPAL OR SUPERVISORY CAPACITY WAS EFFECTIVE FROM JULY 16, 2007 THROUGH JULY 27, 2007. FINES PAID ON 07/17/2007.

Reporting Source: Broker

Regulatory Action Initiated By: NASD - NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought: Suspension

Date Initiated: 04/06/2006

Docket/Case Number: INVESTIGATION NO. 20050002644

Employing firm when activity occurred which led to the regulatory action: K.W. CHAMBERS & CO.

Product Type: Equity-OTC

Allegations: THE AFOREMENTIONED SRO ALLEGED THIS REPRESENTATIVE VIOLATED NASD CONDUCT RULES 2110, 3010(A), AND 3010(B) REGARDING AN ALLEGED FAILURE TO SUPERVISE ANOTHER REPRESENTATIVE'S IMPROPER CONDUCT.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



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:	06/22/2007
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	SUPERVISORY
Duration:	10 BUSINESS DAYS
Start Date:	07/09/2007
End Date:	07/20/2007
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/16/2007
Was any portion of penalty waived?	No
Amount Waived:	

End of Report



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