BrokerCheck Report

GREGORY ALAN GENTRY

CRD# 1279027

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.

GREGORY A. GENTRY

CRD# 1279027

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

B **LPL FINANCIAL LLC**
100 FRONT ST 5TH FLOOR
MARIETTA, OH 45750-3142
CRD# 6413
Registered with this firm since: 09/09/2022

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
- 14 U.S. states and territories

This broker has passed:

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

Registration History

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

B **WOODBURY FINANCIAL SERVICES, INC.**
CRD# 421
MARIETTA, OH
03/2019 - 09/2022

B **QUESTAR CAPITAL CORPORATION**
CRD# 43100
MARIETTA, OH
08/2018 - 03/2019

IA **MADISON AVENUE SECURITIES, LLC**
CRD# 23224
SAN DIEGO, CA
10/2016 - 08/2018

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
Customer Dispute	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 14 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY**
FORT MILL, SC 29715

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	09/09/2022

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	03/17/2023
B	Florida	Agent	Approved	09/09/2022
B	Indiana	Agent	Approved	09/09/2022
B	Kentucky	Agent	Approved	10/13/2022
B	Nebraska	Agent	Approved	01/29/2025
B	North Carolina	Agent	Approved	09/09/2022
B	Ohio	Agent	Approved	09/09/2022
B	Pennsylvania	Agent	Approved	09/09/2022
B	South Carolina	Agent	Approved	09/09/2022
B	South Dakota	Agent	Approved	03/28/2023
B	Tennessee	Agent	Approved	09/09/2022
B	Virginia	Agent	Approved	09/09/2022

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Washington	Agent	Approved	09/09/2022
B	West Virginia	Agent	Approved	09/09/2022

Branch Office Locations

LPL FINANCIAL LLC
100 FRONT ST 5TH FLOOR
MARIETTA, OH 45750-3142

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination	Series 26	09/28/1987

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	08/01/1984

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	06/29/1984

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	03/2019 - 09/2022	WOODBURY FINANCIAL SERVICES, INC.	421	MARIETTA, OH
B	08/2018 - 03/2019	QUESTAR CAPITAL CORPORATION	43100	MARIETTA, OH
IA	10/2016 - 08/2018	MADISON AVENUE SECURITIES, LLC	23224	Marietta, OH
B	09/2016 - 08/2018	MADISON AVENUE SECURITIES, LLC	23224	Marietta, OH
B	01/2015 - 02/2016	TRUSTMONT FINANCIAL GROUP, INC.	18312	Marietta, OH
IA	01/2015 - 02/2016	TRUSTMONT ADVISORY GROUP, INC.	106015	MARIETTA, OH
B	01/2012 - 10/2014	FORESTERS EQUITY SERVICES, INC.	18464	SAN DIEGO, CA
IA	01/2012 - 10/2014	FORESTERS EQUITY SERVICES, INC.	18464	MARIETTA, OH
IA	04/2010 - 11/2011	AMERITAS INVESTMENT CORP	14869	MARIETTA, OH
B	04/2010 - 11/2011	AMERITAS INVESTMENT CORP.	14869	MARIETTA, OH
IA	09/2008 - 04/2010	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	MARIETTA, OH
B	05/2007 - 04/2010	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	MARIETTA, OH
B	05/2005 - 05/2007	WATERSTONE FINANCIAL GROUP, INC.	10078	MARIETTA, OH
B	01/2005 - 05/2005	THE (WILSON) WILLIAMS FINANCIAL GROUP	22704	DALLAS, TX
B	08/2004 - 12/2004	PRO-INTEGRITY SECURITIES, INC.	44707	LONGVIEW, TX
B	05/1991 - 08/2004	HACKETT ASSOCIATES, INC.	2106	WYOMISSING, PA
B	08/1984 - 04/1991	FIRST AMERICAN NATIONAL SECURITIES, INC.	10111	DULUTH, GA

Employment History

Registration and Employment History

Employment History, continued

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
09/2022 - Present	LPL Financial, LLC	Registered Representative	Y	Marietta, OH, United States
03/2019 - 09/2022	WOODBURY FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	MARIETTA, OH, United States
08/2018 - 03/2019	QUESTAR CAPITAL CORPORATION	REGISTERED REPRSENTATIVE	Y	MINNEAPOLIS, MN, United States
09/2016 - 08/2018	Madison Avenue Securities, LLC	REGISTERED REPRESENTATIVE	Y	san diego, CA, United States
06/1981 - 08/2018	GREG GENTRY & ASSOCIATES	OWNER	Y	MARIETTA, OH, United States
01/2015 - 02/2016	TRUSTMONT ADVISORY GROUP, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	GREENSBURG, PA, United States
01/2015 - 02/2016	TRUSTMONT FINANCIAL GROUP, INC.	REGISTERED REPRESENTATIVE	Y	GREENSBURG, PA, 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) 8/2021 - Notary - Investment Related - .25 hr/mon - .02 hr/trading - 1% - Marietta, OH 45750
2) 1/2020 - DBA for LPL Business (entity for LPL business) - Gregory Gentry and Associates, LLC - Investment Related - 40 hr/mon - 8 hr/trading - 100% - Marietta, OH 45750
3) 6/1981 - Non-Variable Insurance - Gregory Gentry & Asociates, LLC - Investment Related - 5 hr/mon - 1 hr/trading - 5% - Marietta, OH 45750

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.
   -
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
Customer Dispute	0	1	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	FORESTERS EQUITY
Allegations:	CLIENT DID NOT WANT INVESTMENT RISK ANY LONGER AND WANTED TO GO INTO A GUARANTEED FIXED MONTHLY INCOME PLAN. I PLACED THE CLIENT INTO A LINCOLN FINANCIAL ANNUITY WITH A GUARANTEED INCOME RIDER SET UP FOR A $400 A MONTH INCOME PAYMENT. APPROXIMATELY $120,000. I EXPLAINED SHE COULD NOT TAKE EXTRA MONEY OUT WITHOUT IT AFFECTING HER MONTHLY INCOME. THE CLIENT THEN PULLED AN ADDITIONAL $8000 OUT OF HER ACCOUNT IN THE FIRST CONTRACT YEAR IN ADDITION TO INCOME PAYMENTS AND FEELS SHE HAS LOST MONEY IN HER ACCOUNT. CLIENT FILED AN INSURANCE COMPLAINT WITH THE STATE OF OHIO THAT WAS DISMISSED AS NO CLAIM IN 2013 SO CLIENT FILED A CIVIL SUIT IN JUNE 2014 STATING SHE HAS LOST MONEY IN THE MOVE. EVEN WITH EXCESSIVE WITHDRAWALS THE CLIENTS ACCOUNT VALUE IS ACTUALLY HIGHER NOW THEN THE ORIGINAL AMOUNT INVESTED. THE ATTORNEYS INVOLVED ARE TRYING TO FIGURE HOW SHE HAS LOST MONEY.
Product Type:	Annuity-Fixed
Alleged Damages:	$50,000.00
Is this an oral complaint?	No
Is this a written complaint?	No

Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	Court of Common Pleas for Union County, Ohio
Docket/Case #:	14CV0205
Filing date of arbitration/CFTC reparation or civil litigation:	11/24/2014

Customer Complaint Information

Date Complaint Received:	11/24/2014
Complaint Pending?	No
Status:	Settled
Status Date:	08/21/2015
Settlement Amount:	$7,000.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	UNION CO OHIO
Location of Court:	UNION CO OHIO
Docket/Case #:	14CV0205
Date Notice/Process Served:	08/25/2014
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	08/21/2015
Monetary Compensation Amount:	$7,000.00
Individual Contribution Amount:	$7,000.00
Broker Statement	MY E&O ATTORNEY AS WELL AS LINCOLNS TEAM SAYS NO LOSS TO SEEK DAMAGES FROM. CLIENT TOOK ADDITIONAL FUNDS OUT TO GO ON A CRUISE WHICH RESULTED IN ACCOUNT VALUE DECREASE WHICH HAS

SINCE ABSORBED THE WITHDRAWAL AND REGAINED THE VALUE. THERE IS NO LOSS.

End of Report

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