

## BrokerCheck Report

# GREGORY JAY MOLLE

CRD# 1316841

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)

**GREGORY J. MOLLE**

CRD# 1316841

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

**IA STRONG TOWER ADVISORY SERVICES**  
 333 SOUTH 7TH STREET SUITE 2100  
 MINNEAPOLIS, MN 55402  
 CRD# 315106  
 Registered with this firm since: 06/21/2021

**B DFPG INVESTMENTS, LLC**  
 333 South 7th Street  
 Suite 2100  
 Minneapolis, MN 55402  
 CRD# 155576  
 Registered with this firm since: 08/01/2021

**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
- 20 U.S. states and territories

**This broker has passed:**

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

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

- IA ADVISORNET WEALTH MANAGEMENT**  
 CRD# 113074  
 MINNETONKA, MN  
 09/2014 - 08/2021
- B CETERA ADVISOR NETWORKS LLC**  
 CRD# 13572  
 MINNEAPOLIS, MN  
 09/2014 - 08/2021
- IA CETERA ADVISOR NETWORKS LLC**  
 CRD# 13572  
 EL SEGUNDO, CA  
 09/2014 - 10/2020

**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 20 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **DFPG INVESTMENTS, LLC**

Main Office Address: **9017 S RIVERSIDE DRIVE  
SUITE 210  
SANDY, UT 84070**

Firm CRD#: **155576**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	08/01/2021

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alabama	Agent	Approved	08/04/2021
<b>B</b> Arizona	Agent	Approved	08/01/2021
<b>B</b> California	Agent	Approved	08/01/2021
<b>B</b> Colorado	Agent	Approved	08/05/2021
<b>B</b> Connecticut	Agent	Approved	08/01/2021
<b>B</b> Florida	Agent	Approved	08/01/2021
<b>B</b> Georgia	Agent	Approved	08/10/2021
<b>B</b> Idaho	Agent	Approved	08/01/2021
<b>B</b> Illinois	Agent	Approved	08/11/2021
<b>B</b> Kansas	Agent	Approved	08/01/2021
<b>B</b> Minnesota	Agent	Approved	08/04/2021
<b>B</b> Montana	Agent	Approved	09/09/2021



## Broker Qualifications

### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	08/01/2021
B	North Dakota	Agent	Approved	08/01/2021
B	Ohio	Agent	Approved	08/01/2021
B	South Carolina	Agent	Approved	09/15/2021
B	Texas	Agent	Approved	08/01/2021
B	Washington	Agent	Approved	12/02/2024
B	Wisconsin	Agent	Approved	08/01/2021
B	Wyoming	Agent	Approved	08/01/2021

### Branch Office Locations

#### DFPG INVESTMENTS, LLC

333 South 7th Street  
Suite 2100  
Minneapolis, MN 55402

### Employment 2 of 2

Firm Name: **STRONG TOWER ADVISORY SERVICES**

Main Office Address: **333 SOUTH 7TH STREET SUITE 2100  
MINNEAPOLIS, MN 55402**

Firm CRD#: **315106**

	U.S. State/ Territory	Category	Status	Date
IA	Minnesota	Investment Adviser Representative	Approved	06/21/2021
IA	Texas	Investment Adviser Representative	Approved	06/21/2021

## Broker Qualifications



### Employment 2 of 2, continued Branch Office Locations

333 SOUTH 7TH STREET SUITE 2100  
MINNEAPOLIS, MN 55402

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## 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 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination	Series 31	11/13/2008
<b>B</b> General Securities Representative Examination	Series 7	01/19/1985

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/25/1985

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/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications

## Professional Designations

This section details that the representative has reported **1** professional designation(s).

### Certified Financial Planner

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This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 09/2014 - 08/2021	ADVISORNET WEALTH MANAGEMENT	113074	MINNEAPOLIS, MN
B 09/2014 - 08/2021	CETERA ADVISOR NETWORKS LLC	13572	MINNEAPOLIS, MN
IA 09/2014 - 10/2020	CETERA ADVISOR NETWORKS LLC	13572	MINNEAPOLIS, MN
IA 10/2010 - 09/2014	MORGAN STANLEY	149777	MINNEAPOLIS, MN
B 06/2009 - 09/2014	MORGAN STANLEY	149777	MINNEAPOLIS, MN
B 06/2008 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	MINNEAPOLIS, MN
B 03/2004 - 07/2008	WELLS FARGO INVESTMENTS, LLC	10582	SAN FRANCISCO, CA
IA 03/2004 - 07/2008	WELLS FARGO INVESTMENTS, LLC	10582	MINNEAPOLIS, MN
B 07/2003 - 03/2004	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO
IA 07/2003 - 03/2004	WACHOVIA SECURITIES, LLC	19616	MINNEAPOLIS, MN
IA 07/2001 - 07/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	MINNEAPOLIS, MN
B 05/2001 - 07/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 01/1998 - 05/2001	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	EL SEGUNDO, CA
B 05/1993 - 01/1998	VSR FINANCIAL SERVICES, INC.	14503	OVERLAND PARK, KS
B 03/1991 - 06/1993	CAPITAL MANAGEMENT SECURITIES, INC.	10579	MINNEAPOLIS, MN
B 03/1990 - 03/1991	FAHNESTOCK & CO., INC.	249	NEW YORK, NY
B 12/1988 - 03/1990	B.C. CHRISTOPHER SECURITIES CO.	60	KANSAS CITY, MO
B 06/1985 - 12/1988	MORISON SECURITIES, INC.	8097	
B 01/1985 - 05/1985	SOUTHMARK FINANCIAL SERVICES, INC.	6518	

### 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
07/2021 - Present	DFPG Investments, LLC	Registered Representative	Y	Sandy, UT, United States
06/2021 - Present	Strong Tower Advisory Services	Investment Adviser Representative	Y	Minneapolis, MN, United States
09/2014 - 07/2021	ADVISORNET WEALTH MANAGEMENT	IAR	Y	MINNEAPOLIS, MN, United States
09/2014 - 07/2021	CETERA ADVISOR NETWORKS, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CO, United States
01/2017 - 04/2020	ADVISOR FINANCING LLC	CO-OWNER	N	MINNEAPOLIS, MN, 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. Strong Tower Wealth Management; Investment Related; Minneapolis, MN; Pass through entity; Managing Partner; 09/2014; 45% during business hours; Pass through entity for our securities and insurance practice.
2. Strong Tower Advisory Services; Investment Related; Minneapolis, MN; RIA; CEO; 06/2021; 50% during business hours; Operation of independent RIA to manage client assets. Principally involved in operation and management of investment advisory practice. Overseeing compliance and management of client assets. Hiring relevant consultants to assist in the administration and compliance with relevant laws and regulations.
3. First Light Consulting LLC; non-investment related; Minnesota; Limited liability Company to cover business expenses; Manager; Dec 09,2021; 2% during business hours; Created to cover business expenses related to travel/costs to gather industry knowledge and due diligence trips.
4. Good Neighbor LLC; non-investment related; Bar/restaurant; silent partner; Nov 01,2021; 0% during business hours; Upstart business, not yet open for business.



## 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
Customer Dispute	0	1	N/A



## 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.

### Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	FINANCIAL NETWORK INVESTMENT CORP
<b>Allegations:</b>	CLIENT ALLEGES NON-DISCLOSURE, MISREPRESENTATION, UNSUITABLE INVESTMENTS, CONCERNING THE PURCHASE OF A VARIABLE UNIVERSAL LIFE
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	VARIABLE UNIVERSAL LIFE
<b>Alleged Damages:</b>	\$35,388.00

#### Customer Complaint Information

<b>Date Complaint Received:</b>	04/18/2003
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	10/30/2003

#### Settlement Amount:

#### Individual Contribution Amount:



**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** FINANCIAL NETWORK INVESTMENT CORP  
**Allegations:** CLIENT ALLEGES NON-DISLCOSURE,MISREPRESENTATION,UNSUITABLE INVESTMENTS, CONCERNING THE PURCHASE OF A VARIABLE UNIVERSAL LIF  
**Product Type:** Other  
**Other Product Type(s):** VARIABLE UNIVERSAL LIFE  
**Alleged Damages:** \$35,388.00

**Customer Complaint Information**

**Date Complaint Received:** 04/18/2003  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 10/30/2003  
**Settlement Amount:**  
**Individual Contribution Amount:**

## End of Report



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