BrokerCheck Report

GREGG STANLY BRZESKI

CRD# 1528388

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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.
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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.

GREGG S. BRZESKI

CRD# 1528388

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

B **ALLSTATE FINANCIAL SERVICES, LLC**
304 N Main St
HARTFORD, WI 53027-1518
CRD# 18272
Registered with this firm since: 07/18/2006

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
- 4 U.S. states and territories

This broker has passed:

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

Registration History

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

B **GREAT AMERICAN ADVISORS, INC.**
CRD# 36451
OCONOMOWOC, WI
02/2005 - 07/2006

IA **GREAT AMERICAN ADVISORS, INC.**
CRD# 36451
CINCINNATI, OH
03/2005 - 03/2005

IA **PMG ASSET MANAGEMENT INC**
CRD# 110825
ELGIN, IL
02/2003 - 02/2005

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	2

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 4 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name:	**ALLSTATE FINANCIAL SERVICES, LLC**
Main Office Address:	**151 N 8TH STREET, SUITE 450** **LINCOLN, NE 68508-1380**
Firm CRD#:	**18272**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	07/18/2006
B	FINRA	General Securities Representative	Approved	07/18/2006
B	FINRA	Municipal Fund	Approved	03/11/2008

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	07/23/2024
B	Colorado	Agent	Approved	03/25/2019
B	Indiana	Agent	Approved	01/05/2018
B	Wisconsin	Agent	Approved	07/18/2006

Branch Office Locations

ALLSTATE FINANCIAL SERVICES, LLC
304 N Main St
HARTFORD, WI 53027-1518

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Fund Securities Principal Examination	Series 51	03/08/2008
B	General Securities Principal Examination	Series 24	03/04/1992

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	08/16/1986

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	09/04/1986

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	02/2005 - 07/2006	GREAT AMERICAN ADVISORS, INC.	36451	OCONOMOWOC, WI
IA	03/2005 - 03/2005	GREAT AMERICAN ADVISORS, INC.	36451	OCONOMOWOC, WI
IA	02/2003 - 02/2005	PMG ASSET MANAGEMENT INC	110825	WAUKESHA, WI
B	02/2003 - 02/2005	PMG SECURITIES CORPORATION	27107	ELGIN, IL
B	01/2001 - 01/2003	USALLIANZ SECURITIES, INC.	40875	MINNEAPOLIS, MN
B	01/1996 - 12/2000	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	FAIRFIELD, IA
B	12/1995 - 12/1995	ENERIC FINANCIAL SERVICES, INC.	11761	FAIRFIELD, IA
B	02/1991 - 12/1995	MARINER FINANCIAL SERVICES, INC.	8292	LARGO, FL
B	06/1988 - 02/1991	PROTECTIVE EQUITY SERVICES, INC.	15708	BIRMINGHAM, AL
B	09/1986 - 06/1988	MUTUAL BENEFIT FINANCIAL SERVICE COMPANY	4882	

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
07/2006 - Present	Allstate Financial Services LLC	Agent	Y	Lincoln, NE, United States
06/2006 - Present	ALLSTATE INSURANCE CO	AGENT	N	NORTHBROOK, IL, United States

Registration and Employment History

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.

Sheldon Knoll Condo Assoc. 520 Frederick Ct. Oconomowoc, WI 53066. None Investment related. President. Follow condo association by laws and uphold requirements. Preside over condo open meetings and provide guidance in financial decisions voted on by board of directors. 1% devoted. 2 hrs per month. 1 hr per month during trading. Start Date: 7/11/2016.

EVERLAKE SERVICES CO
POSITION: agent NATURE: Trail Life insurance Commissions INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2025
ADDRESS: 3100 Sanders Road, Suite 303, Northbrook IL 60062, United States
DESCRIPTION: Trail Life commissions form Allstate sale of life 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.
   -
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.
   -
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	2	0

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.

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 2

Reporting Source:	Broker
Regulatory Action Initiated By:	STATE OF WISCONSIN OFFICE OF THE COMMISSIONER OF INSURANCE
Sanction(s) Sought:	Denial
Date Initiated:	02/10/2010
Docket/Case Number:	10-C32684
Employing firm when activity occurred which led to the regulatory action:	ALLSTATE FINANCIAL SERVICES, LLC
Product Type:	No Product
Allegations:	AN APPLICATION DATED NOVEMBER 3, 2009 FOR A PERMANENT INDIVIDUAL INTERMEDIARY AGENT'S INSURANCE LICENSE FOR THE VARIABLE LIFE AND VARIABLE ANNUITIES WAS DENIED ON FEBRUARY 2, 2010 BASED ON THE FACT THAT A "NO" ANSWER WAS INDICATED TO THE QUESTION ON THE APPLICATION REGARDING ADMINISTRATIVE ACTIONS TAKEN IN ANY STATE.
Current Status:	Final
Resolution:	Decision

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:	02/02/2010
Sanctions Ordered:	Denial

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	WI SEC
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/01/1994
Docket/Case Number:	X-94066(L)
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	UNLICENSED INVESTMENT ADVISER ACTIVITY
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/26/1994
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	CONSENT ORDER OF CENSURE
Regulator Statement	RESPONDENT WAS QUALIFIED AS AN INVESTMENT ADVISER REPRESENTATIVE FROM FEBRUARY, 1989 THROUGH APRIL, 1991,

AT WHICH TIME HE MOVED HIS SECURITIES LICENSE TO A LICENSED WISCONSIN BROKER-DEALER THAT WAS NOT LICENSED AS AN INVESTMENT
ADVISER IN WISCONSIN. THE FIRM NOW HAS AN AFFILIATED CORPORATION THAT IS LICENSED IN WISCONSIN AS AN INVESTMENT ADVISER. BEGINNING IN APRIL 1991 WHILE AT THE NEW BD, BRZESKI TERMINATED HIS QUALIFICATION AS AN INVESTMENT ADVISER REPRESENTATIVE WITH HIS OLD FIRM YET CONTINUED INVESTMENT ADVISORY SERVICES FOR HIS CLIENTS. IN MARCH, 1994, STAFF OF WI SEC CONDUCTED A ROUTINE EXAM OF THE BD'S BRANCH OFFICE WHERE BRZESKI IS THE SUPERVISOR AND DISCOVERED HIS INVESTMENT ADVISORY ACTIVITIES WERE BEING CONDUCTED WITHOUT LICENSURE NOR
WITH THE KNOWLEDGE OF HIS EMPLOYING BD. CONTACT: SUE KITTEL MOORE, (608) 266-9886

Reporting Source:	Broker
Regulatory Action Initiated By:	COMMISSIONER OF SECURITIES STATE OF WISCONSIN (EXAM*SEE FAQ #1*
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	
Date Initiated:	08/08/1994
Docket/Case Number:	X-94066(L)
Employing firm when activity occurred which led to the regulatory action:	MARINER FINANCIAL SERVICES
Product Type:	Other
Other Product Type(s):	SECURITIES
Allegations:	ACTING AS INVESTMENT ADVISOR WITHOUT CURRENT LICENSE
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/08/1994
Sanctions Ordered:	Censure

Other Sanctions Ordered:	
Sanction Details:	ORDER OF CENSURE FROM STATE OF WISCONSIN
Broker Statement	I DISCLOSED TO STATE EXAMINER I WAS NOT CURRENTLY REGISTERED AS AN INVESTMENT ADVISOR. I HAS APPLIED THRU MY BROKER DEALER TWICE OVER TWO YEARS, AND FOLLOWED ALL DISCLOSURE RULES TO MY CLIENTS. I RECEIVED MY INVESTMENT ADVISOR REPRESENTATIVE ON JUNE 20, 1994. THE STATE OF WI A CONSENT ORDER OF CENSURE ON JULY 27, 1994 FOR ACTING AS AN INVESTMENT ADVISOR WITH OUT PROPER STATE LICENSE.

End of Report

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