

## BrokerCheck Report

# GREG LAURENCE COBURN

CRD# 2349925

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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).

**GREG L. COBURN**

CRD# 2349925

**Currently employed by and registered with the following Firm(s):****IA LPL FINANCIAL LLC**

1112 GALLERIA BLVD. SUITE 170  
ROSEVILLE, CA 95678  
CRD# 6413  
Registered with this firm since: 07/19/2023

**B LPL FINANCIAL LLC**

1333 N. CALIFORNIA BLVD.  
SUITE SL10  
WALNUT CREEK, CA 94596  
CRD# 6413  
Registered with this firm since: 07/19/2023

**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
- 9 U.S. states and territories

**This broker has passed:**

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

**Registration History****This broker was previously registered with the following securities firm(s):****B BANCWEST INVESTMENT SERVICES, INC.**

CRD# 29357  
WALNUT CREEK, CA  
08/2016 - 07/2023

**IA BANCWEST INVESTMENT SERVICES, INC. (BWIS)**

CRD# 29357  
OMAHA, NE  
07/2016 - 07/2023

**IA TIAA-CREF ADVICE AND PLANNING SERVICES**

CRD# 20472  
NEW YORK, NY  
04/2007 - 10/2015

**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
Criminal	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 9 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
<span style="color: blue;">B</span> FINRA	General Securities Principal	Approved	07/19/2023
<span style="color: blue;">B</span> FINRA	General Securities Representative	Approved	07/19/2023
<span style="color: blue;">B</span> FINRA	Invest. Co and Variable Contracts	Approved	07/19/2023
<span style="color: blue;">B</span> FINRA	Municipal Fund	Approved	07/19/2023

U.S. State/ Territory	Category	Status	Date
<span style="color: blue;">B</span> California	Agent	Approved	07/19/2023
<span style="color: blue;">IA</span> California	Investment Adviser Representative	Approved	07/19/2023
<span style="color: blue;">B</span> Colorado	Agent	Approved	07/19/2023
<span style="color: blue;">IA</span> Colorado	Investment Adviser Representative	Approved	07/19/2023
<span style="color: blue;">B</span> Iowa	Agent	Approved	07/19/2023
<span style="color: blue;">IA</span> Iowa	Investment Adviser Representative	Approved	07/19/2023
<span style="color: blue;">B</span> Kansas	Agent	Approved	07/19/2023
<span style="color: blue;">IA</span> Kansas	Investment Adviser Representative	Approved	07/19/2023
<span style="color: blue;">B</span> Missouri	Agent	Approved	07/19/2023

## Broker Qualifications



### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
IA Missouri	Investment Adviser Representative	Approved	07/19/2023
B Nebraska	Agent	Approved	07/19/2023
IA Nebraska	Investment Adviser Representative	Approved	07/19/2023
B New Mexico	Agent	Approved	07/19/2023
IA New Mexico	Investment Adviser Representative	Approved	07/19/2023
B Oregon	Agent	Approved	04/19/2024
IA Oregon	Investment Adviser Representative	Approved	04/19/2024
B Washington	Agent	Approved	04/11/2024
IA Washington	Investment Adviser Representative	Approved	04/11/2024

### Branch Office Locations

**LPL FINANCIAL LLC**  
 1333 N. CALIFORNIA BLVD.  
 SUITE SL10  
 WALNUT CREEK, CA 94596

**LPL FINANCIAL LLC**  
 1112 GALLERIA BLVD. SUITE 170  
 ROSEVILLE, CA 95678

**LPL FINANCIAL LLC**  
 460 BRUNSWICK RD  
 GRASS VALLEY, CA 95945

**LPL FINANCIAL LLC**  
 4001 MANZANITA AVE  
 CARMICHAEL, CA 95608

**LPL FINANCIAL LLC**  
 5120 MOWRY AVE  
 SUITE SL10

## Broker Qualifications



### Employment 1 of 1, continued

FREMONT, CA 94538

**LPL FINANCIAL LLC**  
701 SANTA CRUZ AVE  
SUITE SL10  
MENLO PARK, CA 94025

**LPL FINANCIAL LLC**  
416 SW 20TH STREET  
PENDLETON, OR 97801

**LPL FINANCIAL LLC**  
950 NW 23RD AVE  
PORTLAND, OR 97210

**LPL FINANCIAL LLC**  
1250 PACIFIC AVE STE 100  
TACOMA, WA 98402

**LPL FINANCIAL LLC**  
905 NE HALSEY STREET  
PORTLAND, OR 97232

**LPL FINANCIAL LLC**  
120 E. 4TH STREET  
THE DALLES  
THE DALLES, OR 97058

**LPL FINANCIAL LLC**  
7525 W CANAL DR  
KENNEWICK, WA 99336

**LPL FINANCIAL LLC**  
1191 2ND AVE STE 120  
SEATTLE, WA 98101

**LPL FINANCIAL LLC**  
MARTINEZ, CA

**LPL FINANCIAL LLC**  
3525 W COURT ST  
PASCO, WA 99301

**LPL FINANCIAL LLC**  
1000 EAST BIDWELL STREET  
FOLSOM, CA 95630

## Broker Qualifications



### Employment 1 of 1, continued

**LPL FINANCIAL LLC**  
2581 FAIR OAKS BLVD  
SACRAMENTO, CA 95825

**LPL FINANCIAL LLC**  
186 MAIN ST  
WOODLAND, CA 95695

**LPL FINANCIAL LLC**  
465 S. COLUMBIA RIVER HWY  
SAINT HELENS, OR 97051

**LPL FINANCIAL LLC**  
2606 OCEAN AVE  
SAN FRANCISCO, CA 94132

**LPL FINANCIAL LLC**  
195 E 4TH AVE  
SAN MATEO, CA 94401

**LPL FINANCIAL LLC**  
321 GELLERT BLVD  
DALY CITY, CA 94015

**LPL FINANCIAL LLC**  
1540 ESPLANADE  
CHICO, CA 95926

**LPL FINANCIAL LLC**  
810 SW BROADWAY  
PORTLAND, OR 97205

**LPL FINANCIAL LLC**  
312 N RUBY ST  
ELLENSBURG, WA 98926

**LPL FINANCIAL LLC**  
801 CLEMENT ST  
SAN FRANCISCO, CA 94118

**LPL FINANCIAL LLC**  
149 PARK RD  
BURLINGAME, CA 94010

**LPL FINANCIAL LLC**



## Broker Qualifications

### Employment 1 of 1, continued

1050 DEL MONTE CENTER  
MONTEREY, CA 93940

**LPL FINANCIAL LLC**  
3820 CAPITOLA RD  
CAPITOLA, CA 95010

**LPL FINANCIAL LLC**  
2626 ORO DAM BLVD  
OROVILLE, CA 95966

**LPL FINANCIAL LLC**  
21 MORAGA WAY  
ORINDA, CA 94563

**LPL FINANCIAL LLC**  
330 DAVIS ST  
VACAVILLE, CA 95688

**LPL FINANCIAL LLC**  
7533 DUBLIN BLVD  
DUBLIN, CA 94568

**LPL FINANCIAL LLC**  
307 DIABLO RD  
DANVILLE, CA 94526

**LPL FINANCIAL LLC**  
5452 SUNOL BLVD  
PLEASANTON, CA 94566

**LPL FINANCIAL LLC**  
2527 CAMINO RAMON  
SAN RAMON, CA 94583

**LPL FINANCIAL LLC**  
77 N ALMADEN AVE  
SAN JOSE, CA 95110

**LPL FINANCIAL LLC**  
34 E GRIDLEY RD  
GRIDLEY, CA 95948

**LPL FINANCIAL LLC**  
505 SUNSET DR  
ONTARIO, OR 97914

## Broker Qualifications



### Employment 1 of 1, continued

**LPL FINANCIAL LLC**  
239 WESTLAKE CENTER  
DALY CITY, CA 94015

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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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
Municipal Fund Securities Principal Examination	Series 51	07/30/2004
General Securities Principal Examination	Series 24	05/07/2004

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	10/19/1993
Investment Company Products/Variable Contracts Representative Examination	Series 6	05/26/1993

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	07/11/2007
Uniform Securities Agent State Law Examination	Series 63	05/26/1993

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

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
B 08/2016 - 07/2023	BANCWEST INVESTMENT SERVICES, INC.	29357	WALNUT CREEK, CA
IA 07/2016 - 07/2023	BANCWEST INVESTMENT SERVICES, INC. (BWIS)	29357	WALNUT CREEK, CA
IA 04/2007 - 10/2015	TIAA-CREF ADVICE AND PLANNING SERVICES	20472	SAN FRANCISCO, CA
B 10/1994 - 10/2015	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	20472	SAN FRANCISCO, CA
B 12/1994 - 12/1995	TEACHERS PERSONAL INVESTORS SERVICES, INC.	36130	NEW YORK, NY
B 05/1993 - 05/1994	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN
B 05/1993 - 05/1994	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN

## 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
07/2023 - Present	LPL FINANCIAL LLC	FINANCIAL CONSULTANT	Y	WALNUT CREEK, CA, United States
06/2016 - Present	BANK OF THE WEST	PREMIER MARKET MANAGER	Y	SAN RAMON, CA, United States
06/2016 - Present	BancWest Investment Services	Premier Market Manager	Y	San Ramon, CA, United States
11/2015 - 05/2016	unemployed	Unemployed	N	Martinez, CA, 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.

1. 05/10/2023 - BMO Investment Services - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business)

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## 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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o 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.
  - o 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
Criminal	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.

### Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Court Details:</b>	NORTH BUTTE CO. MUNICIPAL COURT-CALIFORNIA CR32222
<b>Charge Date:</b>	11/20/1987
<b>Charge Details:</b>	THE ALLEGATIONS WERE THAT I PURCHASED A SWEATSHIRT FROM THE SCHOOL BOOKSTORE AT AN UNAUTHORIZED DISCOUNT
<b>Felony?</b>	No
<b>Current Status:</b>	Final
<b>Status Date:</b>	03/28/1988
<b>Disposition Details:</b>	I WAS CONVICTED OF 484PC MISDEMEANOR. I WAS FINED \$10.00 AND DID 3 DAYS COMMUNITY SERVICE
<b>Broker Statement</b>	I WAS CONVICTED OF 484PC ON MARCH 28, 1988 IN CHICO, CALIFORNIA WHILE ATTENDING COLLEGE. IT WAS A REGRETABLE INCIDENT AND WAS STUPID OF ME TO PURCHASE A SWEATSHIRT FROM THE BOOKSTORE AT AN UNAUTHORIZED DISCOUNT. I HAD NOT ANY PRIOR RECORD AND WAS ABLE TO FILE A "PETITION AND ORDER" ENABLING ME TO CHANGE MY PLEA TO "NOT GUILTY". IT WAS DISMISSED FROM MY RECORD UNDER PENAL CODE 1203.412203.4. I MISUNDERSTOOD THE LAW CONCERNING WHAT THAT ENTAILED. MY FAILURE TO DISCLOSE THIS INFORMATION WASN'T DONE WITH THE INTENT TO DECEIVE THE SEC OR



NASD

## End of Report



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