

## BrokerCheck Report

### VLADIMIR MICHAEL GREBEN

CRD# 2547477

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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).

**VLADIMIR M. GREBEN**

CRD# 2547477

**Currently employed by and registered with the following Firm(s):****IA LPL FINANCIAL LLC**10451 MILL RUN CIRCLE, #1015  
OWINGS MILLS, MD 21117  
CRD# 6413

Registered with this firm since: 08/26/2015

**B LPL FINANCIAL LLC**10451 MILL RUN CIRCLE, #1015  
OWINGS MILLS, MD 21117  
CRD# 6413

Registered with this firm since: 08/26/2015

**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
- 24 U.S. states and territories

**This broker has passed:**

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

**Registration History****This broker was previously registered with the following securities firm(s):****IA J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC**CRD# 124446  
ATLANTA, GA  
10/2007 - 08/2015**B J.P. TURNER & COMPANY, L.L.C.**CRD# 43177  
OWINGS MILLS, MD  
03/2002 - 08/2015**B GLOBAL CAPITAL SECURITIES CORPORATION**CRD# 16184  
ENGLEWOOD, CO  
12/2000 - 03/2002**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	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 24 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
FINRA	General Securities Principal	Approved	08/26/2015
FINRA	General Securities Representative	Approved	08/26/2015

U.S. State/ Territory	Category	Status	Date
Arizona	Agent	Approved	12/12/2025
Arkansas	Agent	Approved	05/24/2019
California	Agent	Approved	08/26/2015
Colorado	Agent	Approved	09/14/2015
Connecticut	Agent	Approved	05/03/2023
Delaware	Agent	Approved	10/02/2015
District of Columbia	Agent	Approved	08/26/2015
Florida	Agent	Approved	08/26/2015
Georgia	Agent	Approved	08/26/2015
Hawaii	Agent	Approved	08/31/2015
Illinois	Agent	Approved	05/17/2023

## Broker Qualifications



### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
<span style="color: blue;">B</span> Maryland	Agent	Approved	08/26/2015
<span style="color: blue;">IA</span> Maryland	Investment Adviser Representative	Approved	08/26/2015
<span style="color: blue;">B</span> New Jersey	Agent	Approved	08/26/2015
<span style="color: blue;">B</span> New York	Agent	Approved	08/26/2015
<span style="color: blue;">B</span> North Carolina	Agent	Approved	08/26/2015
<span style="color: blue;">B</span> Ohio	Agent	Approved	01/31/2017
<span style="color: blue;">B</span> Oregon	Agent	Approved	03/15/2022
<span style="color: blue;">B</span> Pennsylvania	Agent	Approved	08/26/2015
<span style="color: blue;">B</span> South Carolina	Agent	Approved	08/26/2015
<span style="color: blue;">B</span> Tennessee	Agent	Approved	07/10/2019
<span style="color: blue;">B</span> Texas	Agent	Approved	12/15/2021
<span style="color: blue;">IA</span> Texas	Investment Adviser Representative	Restricted Approval	01/03/2022
<span style="color: blue;">B</span> Virginia	Agent	Approved	08/26/2015
<span style="color: blue;">B</span> Washington	Agent	Approved	07/06/2017
<span style="color: blue;">B</span> West Virginia	Agent	Approved	06/26/2019

### Branch Office Locations

**LPL FINANCIAL LLC**  
 10451 MILL RUN CIRCLE, #1015  
 OWINGS MILLS, MD 21117

## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	03/04/1999

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	11/29/1994

#### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	09/26/2007
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	12/07/1994

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 **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
IA 10/2007 - 08/2015	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	124446	OWINGS MILLS, MD
B 03/2002 - 08/2015	J.P. TURNER & COMPANY, L.L.C.	43177	OWINGS MILLS, MD
B 12/2000 - 03/2002	GLOBAL CAPITAL SECURITIES CORPORATION	16184	ENGLEWOOD, CO
B 10/1999 - 07/2001	NORTHRIDGE CAPITAL CORPORATION	16467	MELVILLE, NY
B 02/1999 - 10/1999	ZEUS SECURITIES, INC.	18192	BOCA RATON, FL
B 12/1998 - 02/1999	MILESTONE FINANCIAL SERVICES, INC.	43295	BOHEMIA, NY
B 10/1998 - 10/1998	BIRCHTREE FINANCIAL SERVICES, INC.	15014	MINNEAPOLIS, MN
B 10/1996 - 11/1997	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD
B 11/1994 - 10/1996	OLDE DISCOUNT CORPORATION	5979	DETROIT, MI

## 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
08/2015 - Present	LPL FINANCIAL LLC	Investment Adviser Representative	Y	OWINGS MILLS, MD, 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) 08/26/2015 - GREBEN ASSET MANAGEMENT INC - Business Entity For Tax/Investment Purposes Only - INV REL - Start 04/01/2002 - 10451

## Registration and Employment History



### Other Business Activities, continued

MILL RUN CIRCLE SUITE 205 OWINGS MILLS MD 21117 - PASS THROUGH ENTITY THAT I USE TO COVER BUSINESS EXPENSES - 2 Hr/Mo; 0 Hours During Securities Trading; 2% Time Spent

(2) 03/16/2016: vladimir greben - Non-Variable Insurance - INV REL - Start 03/15/2016 - 10451 mill run circle suite 205 owings mills, md 21117 - 5 Hr/Mo; 25 Hours During Securities Trading

(3) 07/13/2016: GREBEN WEALTH MANAGEMENT - DBA for LPL Business (entity for LPL business) - GREBEN WEALTH MANAGEMENT - INV REL - Start 06/07/2016 - 10451 MILL RUN CIRCLE SUITE 205 OWINGS MILLS, MD 21117 - ALL BUSINESS CURRENTLY ALLOWED TO BE PERFORMED AS A REGISTERED REP AND INVESTMENT ADVISOR REPRESENTATIVE WITH LPL I.E. INCLUDING BUT NOT LIMITED TO STOCKS, BONDS, MUTUAL FUNDS, UIT'S ANNUITIES, ALTERNATIVE INVESTMENTS, STRUCTURED PRODUCTS, LIFE INSURANCE, ANY AND ALL FEE BASED SERVICES ETC. - 60 Hr/Mo; 6 Hours During Securities Trading

(4) 02/22/2024 - Other - Notary - Investment Related - At Reported Business Location(s) - Start Date 01/18/2024 - 0 Hours Per Month/ During Trading

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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
Customer Dispute	0	2	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 - 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 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	J.P. TURNER & COMPANY, L.L.C.
<b>Allegations:</b>	Claimants allege representative over-concentrated their savings in alternative investments and that representative made alleged misrepresentations concerning the investments. The time period is unknown but believed to be prior to 2015.
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$100,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	22-00034
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	04/08/2022

## Customer Complaint Information

**Date Complaint Received:** 04/08/2022



<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	06/20/2024
<b>Settlement Amount:</b>	\$35,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	I was not named in this arbitration. As I do with all customers, I believe I provided excellent, tailored service to the customers. My former broker-dealer chose to settle for a nominal sum, and I made no monetary contribution to the settlement.

## Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	J.P. Turner & Company LLC
<b>Allegations:</b>	Claimant alleges that in May of 2015, representative recommended that claimant invest in two alternative investments which were unsuitable for her investment objectives and risk tolerance.
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$100,000.00

## Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	21-03121
<b>Date Notice/Process Served:</b>	03/01/2022
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	08/22/2023
<b>Monetary Compensation Amount:</b>	\$30,000.00
<b>Individual Contribution Amount:</b>	\$15,000.00

**Broker Statement**

The Representative denies the customer's allegations. The investments about which the customer complained were suitable and recommended based on the customer's objectives, goals, and financial circumstances. At all times, the Representative put the customer's interest first. The Representative believes he would have prevailed in the arbitration on the merits but chose to settle for a nominal sum which was well less than the cost and time of an arbitration hearing.

## End of Report



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