

BrokerCheck Report
LEWIS D GREGORY
CRD# 3066894

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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



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.

LEWIS D. GREGORY

CRD# 3066894

Currently employed by and registered with the following Firm(s):**IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**1200 MAIN ST
KANSAS CITY, MO 64105
CRD# 7691

Registered with this firm since: 10/14/2011

B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED1200 MAIN ST
KANSAS CITY, MO 64105
CRD# 7691

Registered with this firm since: 06/22/2011

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:**

- 6 Self-Regulatory Organizations
- 8 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****IA FINANCIAL COUNSELORS INC**CRD# 106398
OVERLAND PARK, KS
04/2010 - 04/2011**IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**CRD# 7691
NEW YORK, NY
03/2006 - 07/2008**B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**CRD# 7691
LEAWOOD, KS
04/2001 - 07/2008**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 6 SROs and is licensed in 8 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

Main Office Address: **ONE BRYANT PARK
NEW YORK, NY 10036**

Firm CRD#: **7691**

SRO	Category	Status	Date
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/06/2014
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/06/2014
B Cboe Exchange, Inc.	General Securities Representative	Approved	06/22/2011
B FINRA	General Securities Representative	Approved	06/22/2011
B Nasdaq Stock Market	General Securities Representative	Approved	06/22/2011
B New York Stock Exchange	General Securities Representative	Approved	06/22/2011

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	01/10/2017
B California	Agent	Approved	10/22/2013
B Connecticut	Agent	Approved	07/02/2012
B Kansas	Agent	Approved	05/23/2012
IA Kansas	Investment Adviser Representative	Approved	11/19/2020
B Missouri	Agent	Approved	06/30/2011
IA Missouri	Investment Adviser Representative	Approved	10/14/2011

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B New York	Agent	Approved	04/20/2015
B Oregon	Agent	Approved	04/22/2019
B Washington	Agent	Approved	01/17/2018

Branch Office Locations

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

1200 MAIN ST
KANSAS CITY, MO 64105

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	06/21/2011

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/18/2011
IA Uniform Investment Adviser Law Examination	Series 65	06/11/1998

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
IA 04/2010 - 04/2011	FINANCIAL COUNSELORS INC	106398	OVERLAND PARK, KS
IA 03/2006 - 07/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	LEAWOOD, KS
B 04/2001 - 07/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	LEAWOOD, KS
IA 09/1998 - 11/2006	MERRILL LYNCH TRUST COMPANY	108469	LEAWOOD , KS

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
07/2011 - Present	BANK OF AMERICA, N.A.	SVP; PRIVATE CLIENT ADVISOR II	Y	KANSAS CITY, MO, United States
04/2011 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	SVP; PRIVATE CLIENT ADVISOR II	Y	KANSAS CITY, MO, 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.

I*132302

For profit or not for profit: For-Profit Organization

Name of outside business organization: Gregory Properties, LLC

Investment related: N

Address of business:

Lake Quivira, Kansas 66217

Nature of business: LLC,

Position, title, association: Family Held,

Registration and Employment History



Other Business Activities, continued

Start date of relationship: 6/12/2020

Number of hours devoted: 1 hour(s) Monthly

Number of hours devoted during trading hours: 0

Duties: Family LLC to own a lake property. Co-manager of the LLC. The property is for personal use and will not be rented or leased.

I*54695

For profit or not for profit: Non-Profit Organization

Name of outside business organization: Delta Upsilon Educational Foundation

Investment related: N

Address of business:

Indianapolis, Indiana 46268

Nature of business: Charitable Organization,

Position, title, association: Trustee,

Start date of relationship: 8/23/2019

Number of hours devoted: 36 hour(s) Annually

Number of hours devoted during trading hours: 12

Duties: Serve on the Board of Trustees and currently serve as secretary of the Foundation Board.

(2)FOR PROFIT OR NOT FOR PROFIT: NON-PROFIT ORGANIZATION

NAME OF OUTSIDE BUSINESS ORGANIZATION: UNIVERSITY OF KANSAS

INVESTMENT RELATED: N

ADDRESS OF BUSINESS:

LAWRENCE, KANSAS 66044

NATURE OF BUSINESS: CHARITABLE ORGANIZATION,

POSITION, TITLE, ASSOCIATION: TRUSTEE,

START DATE OF RELATIONSHIP: 3/1/2005

NUMBER OF HOURS DEVOTED: 12 HOUR(S) ANNUALLY

NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 12

DUTIES: VOLUNTEER POSITION AS A TRUSTEE.

(3)FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATION

NAME OF OUTSIDE BUSINESS ORGANIZATION: WG PROPERTIES, LLC

INVESTMENT RELATED: N

ADDRESS OF BUSINESS:

LEAWOD, KANSAS 66209

NATURE OF BUSINESS: LLC

POSITION, TITLE, ASSOCIATION: GENERAL PARTNER

START DATE OF RELATIONSHIP: 01/01/2009

NUMBER OF HOURS DEVOTED: 2 HOUR(S) ANNUALLY

NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0 HOUR(S) MONTHLY

DUTIES: FAMILY FARM MANAGEMENT WITH OVERSIGHT ONLY. OTHER MEMBER IS MY SISTER CHARLOTTE JONES.

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	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 - 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:	MERRILL LYNCH, PIERCE, FENNER & SMITH - ML TRUST COMPANY OF AMERICA
Allegations:	IT IS ALLEGED THAT MR. GREGORY AND OTHERS FAILED TO ADVISE THE LATE [CUSTOMER] OF ALL THE TAX CONSEQUENCES FLOWING FROM HER CREATION OF THE [CUSTOMER] CHARITABLE REMAINDER UNITRUST AND OF OTHER ESTATE PLANNING TECHNIQUES AVAILABLE TO HER. AMONG THE ALLEGATIONS IS THAT MERRILL LYNCH TRUST COMPANY'S SALE OF BERKSHIRE HATHAWAY STOCK WAS IMPROPER. NO DAMAGE AMOUNT IS SPECIFIED.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	05/21/1997
Complaint Pending?	No
Status:	Litigation
Status Date:	05/21/1997
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00



Civil Litigation Information

Court Details: CIRCUIT COURT OF JACKSON COUNTY, MISSOURI, AT KANSAS CITY, PROBATE DIVISION; CASE NO. PR98-176780-01

Date Notice/Process Served: 05/21/1997

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/22/2002

Monetary Compensation Amount: \$4,500,000.00

Individual Contribution Amount: \$0.00

Broker Statement AT THE TIME AT ISSUE IN THE LAWSUIT, LEWIS GREGORY WAS A TRUST SPECIALIST FOR MERRILL LYNCH FIDUCIARY SERVICES, INC. MR. GREGORY STRENOUSLY DENIES THE ALLEGATIONS. [CUSTOMER'S] ESTATE-PLANNING ATTORNEY, WITH THE ASSISTANCE OF MR. GREGORY, FULLY ADVISED [CUSTOMER] OF THE TAX CONSEQUENCES OF THE ESTATE PLANNING TECHNIQUE SHE CHOSE. MOREOVER, MR. GREGORY WAS NOT INVOLVED IN MERRILL LYNCH TRUST COMPANY'S DECISION TO SELL THE BERKSHIRE HATHAWAY STOCK.

End of Report



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