

## BrokerCheck Report

**Gregg Thomas Defilippi**

CRD# 4252616

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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).



## Gregg T. Defilippi

CRD# 4252616

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

**IA EDWARD JONES**  
 ANCHOR COURT  
 2207 FREEPORT ROAD  
 NATRONA HEIGHTS, PA 15065  
 CRD# 250  
 Registered with this firm since: 08/30/2007

**B EDWARD JONES**  
 ANCHOR COURT  
 2207 FREEPORT ROAD  
 NATRONA HEIGHTS, PA 15065  
 CRD# 250  
 Registered with this firm since: 10/10/2000

## 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:**

- 4 Self-Regulatory Organizations
- 17 U.S. states and territories

**This broker has passed:**

- 0 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):**

No information reported.

### 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 4 SROs and is licensed in 17 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **EDWARD JONES**

Main Office Address: **12555 MANCHESTER ROAD  
ST. LOUIS, MO 63131-3710**

Firm CRD#: **250**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/10/2000
B	NYSE American LLC	General Securities Representative	Approved	09/14/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	12/04/2000

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	12/08/2020
B	California	Agent	Approved	12/22/2009
B	Delaware	Agent	Approved	11/10/2014
B	Florida	Agent	Approved	03/15/2004
B	Georgia	Agent	Approved	06/30/2011
B	Hawaii	Agent	Approved	06/26/2025
B	Maryland	Agent	Approved	04/24/2012
B	Massachusetts	Agent	Approved	05/19/2009
B	Missouri	Agent	Approved	06/06/2024



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	10/28/2004
B	North Carolina	Agent	Approved	07/07/2025
B	Ohio	Agent	Approved	12/03/2001
B	Pennsylvania	Agent	Approved	10/24/2000
IA	Pennsylvania	Investment Adviser Representative	Approved	08/30/2007
B	South Carolina	Agent	Approved	04/29/2008
B	Tennessee	Agent	Approved	11/21/2022
B	Texas	Agent	Approved	04/05/2021
IA	Texas	Investment Adviser Representative	Approved	04/06/2021
B	Virginia	Agent	Approved	06/08/2009

### Branch Office Locations

**EDWARD JONES**  
 ANCHOR COURT  
 2207 FREEPORT ROAD  
 NATRONA HEIGHTS, PA 15065



## 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 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> General Securities Representative Examination	Series 7	10/09/2000

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/11/2000

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
No information reported.			

### 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
08/2000 - Present	EDWARD JONES	INVESTMENT REPRESENTATIVE	Y	ST LOUIS, 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.

No information reported.



## 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	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 - 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 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** EDWARD JONES

**Allegations:** 10/07-4/09; CLIENT STATES HE MET WITH FA AND WANTED TO PURCHASE CDS. CLIENT STATES INSTEAD, FA PURCHASED MUTUAL FUNDS AND NOW HIS INVESTMENT HAS GONE FROM \$77,000 TO \$53,000. CLIENT IS QUESTIONING WHY THEY WOULD RECOMMEND THESE INVESTMENTS TO A PERSON HIS AGE.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$5,000.00

### Customer Complaint Information

**Date Complaint Received:** 04/07/2009

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/21/2009

**Settlement Amount:**

**Individual Contribution Amount:**



## Broker Statement

FA HAS INDICATED HE AND THE CLIENT MET IN APRIL 2007 AT WHICH TIME THE CLIENT WANTED TO PURCHASE INDIVIDUAL STOCKS WITH OUR FIRM. ACCORDING TO THE FA, THE STOCKS THE CLIENT WAS INTERESTED IN PURCHASING AT THAT TIME WERE AGGRESSIVE AND THE FA DID NOT BELIEVE THEY WOULD BE SUITABLE FOR THE CLIENT BASED ON THE CLIENT'S INVESTMENT OBJECTIVES. IT IS OUR UNDERSTANDING THE CLIENT DECIDED AGAINST BUYING INDIVIDUAL STOCKS AT THAT TIME. THE FA HAS INDICATED THAT HE AND THE CLIENT MET AGAIN IN OCTOBER 2007 REGARDING A CONCERN THE CLIENT HAD ABOUT AN ANNUITY THE CLIENT HAD PURCHASED ELSEWHERE. DURING THAT MEETING, THE FA STATED THE CLIENT ASKED WHAT INVESTMENTS HE RECOMMENDED WITH THE POTENTIAL OF PROVIDING A RATE OF RETURN SIMILAR TO THAT OF THE ANNUITY THE CLIENT PURCHASED. THE FA STATED HE DISCUSSED SEVERAL OPTIONS INCLUDING ANNUITIES, MONEY MARKETS, MUTUAL FUNDS AND CDS AND AT THAT TIME, THE CLIENT INFORMED THE FA HE HAD PREVIOUSLY OWNED ANNUITIES, CDS AND STOCKS. ACCORDING TO THE FA, THE CLIENT LIKED THE POSSIBILITY OF INCREASED INCOME WHICH COULD BE PROVIDED BY THE MUTUAL FUNDS THEY HAD DISCUSSED. FA INDICATED HE EXPLAINED THAT MUTUAL FUNDS WERE NOT SHORT TERM INVESTMENTS, THE RATE OF RETURN WAS NOT SET OR GUARANTEED AND THAT THE FUNDS COULD LOSE MONEY. IN CLOSING, UPON REVIEW OF THE INVESTMENTS THAT WERE HELD IN THE ACCOUNT, THEY DO NOT APPEAR TO BE OUTSIDE OF THE SCOPE OF THE INVESTMENT OBJECTIVES LISTED ON THE ACCOUNT. WHILE WE UNDERSTAND THE CLIENT'S DISAPPOINTMENT WITH THE PERFORMANCE OF THE PORTFOLIO, IT DOES APPEAR THE PERFORMANCE WAS ATTRIBUTED TO MARKET FLUCTUATION WHICH IS A RISK ASSOCIATED WITH INVESTING. BECAUSE THE FUTURE CANNOT BE PREDICTED, WE ENCOURAGE OUR CLIENTS TO PREPARE FOR THE FUTURE BY MAINTAINING DIVERSIFIED PORTFOLIOS.

## Disclosure 2 of 2

**Reporting Source:**

**Employing firm when activities occurred which led to the complaint:**

Broker

EDWARD JONES

**Allegations:**

9/07-12/08; EXECUTOR STATES FA TOLD HIS MOTHER THAT THE DEATH BENEFIT OF THE ANNUITY WOULD NEVER BE LOWER THAN THE AMOUNT INVESTED. MOTHER HAS DIED AND WHEN THE ANNUITY WAS SOLD, THE EXECUTOR STATES THE AMOUNT RECEIVED WAS APPROXIMATELY \$55,000 LESS THAN AMOUNT INVESTED. EXECUTOR HAS SINCE LEARNED THE DEATH BENEFIT WAS BASED ON MARKET VALUE.



**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$5,000.00

### Customer Complaint Information

**Date Complaint Received:** 02/24/2009

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/09/2009

**Settlement Amount:**

**Individual Contribution Amount:**

### Broker Statement

FA INDICATED HE WAS ORIGINALLY CONTACTED BY THE CLIENT'S SON AND DAUGHTER IN 09/07 ABOUT THEIR MOTHER'S ANNUITY THAT WAS MATURING. IT IS OUR UNDERSTANDING THE CLIENT WANTED TO AVOID THE TAX IMPLICATIONS OF THE DISTRIBUTION AND WAS INTERESTED IN A 1035 EXCHANGE TO ANOTHER ANNUITY. FA HAS STATED HE DISCUSSED MULTIPLE OPTIONS WITH THE SON, DAUGHTER AND MOTHER INCLUDING FIXED AND VARIABLE ANNUITIES. IT IS OUR UNDERSTANDING THEY AGREED TO THE VARIABLE ANNUITY BECAUSE THE RATES ON THE FIXED ANNUITIES WERE NOT VERY ATTRACTIVE AT THAT TIME. FA HAS STATED HE INFORMED THE THREE OF THEM THERE COULD BE FLUCTUATION IN THE PRINCIPAL INVESTED. FA HAS ALSO STATED HE INFORMED THEM THE DEATH BENEFIT WAS LIMITED TO 125% OF THE CONTRACT VALUE. BECAUSE OF THIS, IT IS OUR UNDERSTANDING THE DECISION WAS MADE TO ALLOCATE APPROXIMATELY 50% OF THE CONTRACT TO BONDS. IT IS OUR UNDERSTANDING THE SON CONTACTED AIG DIRECTLY TO PROCESS THE DEATH CLAIM, BYPASSING THE FA. BECAUSE OF THIS, THE FA DID NOT KNOW THEY RECEIVED APPROXIMATELY \$183,000. WHEN THIS WAS BROUGHT TO HIS ATTENTION, HE WAS ABLE TO HAVE AIG ISSUE OUT AN ADDITIONAL AMOUNT IN THE PROXIMITY OF \$46,000. IN CLOSING, THE FA HAS STATED ON NUMEROUS OCCASIONS, HE DID INFORM THE SON AND DAUGHTER THE VALUE OF THE ANNUITY WOULD FLUCTUATE AND THAT THE DEATH BENEFIT WAS LIMITED TO 125% OF THE CONTRACT VALUE. ADDITIONALLY THE DEATH BENEFIT INFORMATION WOULD HAVE BEEN DISCLOSED IN THE CONTRACT. BASED ON OUR INVESTIGATION, WE HAVE NO REASON TO BELIEVE THE ANNUITY WAS MISREPRESENTED BY THE FA.

## End of Report



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