

BrokerCheck Report

Bart Kendall Gregory

CRD# 4615974

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 7



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:
 - o 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
 - o 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.

Bart K. Gregory

CRD# 4615974

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

IA LPL ENTERPRISE, LLC
 5605 CARNEGIE BLVD
 STE 240
 CHARLOTTE, NC 28209
 CRD# 8733
 Registered with this firm since: 11/17/2025

B LPL ENTERPRISE, LLC
 5605 CARNEGIE BLVD
 STE 240
 CHARLOTTE, NC 28209
 CRD# 8733
 Registered with this firm since: 11/17/2025

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
- 2 U.S. states and territories

This broker has passed:

- 0 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 MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 CRD# 7691
 CHARLOTTE, NC
 05/2024 - 10/2025

IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 CRD# 7691
 NEW YORK, NY
 05/2024 - 10/2025

IA CREDIT UNION INVESTMENT SERVICES
 CRD# 144871
 RALEIGH, NC
 05/2023 - 11/2023

**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? **No**



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

Employment 1 of 1

Firm Name: **LPL ENTERPRISE, LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **8733**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	11/17/2025

U.S. State/ Territory	Category	Status	Date
B North Carolina	Agent	Approved	11/17/2025
IA North Carolina	Investment Adviser Representative	Approved	11/17/2025
B South Carolina	Agent	Approved	11/17/2025

Branch Office Locations

LPL ENTERPRISE, LLC
5605 CARNEGIE BLVD
STE 240
CHARLOTTE, NC 28209



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, 3 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	08/05/2013
B Investment Company Products/Variable Contracts Representative Examination	Series 6	10/17/2003

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	09/23/2013
B Uniform Securities Agent State Law Examination	Series 63	10/23/2003

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 05/2024 - 10/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CHARLOTTE, NC
IA 05/2024 - 10/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CHARLOTTE, NC
IA 05/2023 - 11/2023	CREDIT UNION INVESTMENT SERVICES	144871	Mooreville, NC
B 05/2023 - 11/2023	SECU BROKERAGE SERVICES	19899	MOORESVILLE, NC
IA 08/2022 - 04/2023	VANGUARD ADVISERS, INC.	106715	CHARLOTTE, NC
B 08/2022 - 04/2023	VANGUARD MARKETING CORPORATION	7452	CHARLOTTE, NC
IA 12/2021 - 08/2022	LPL FINANCIAL LLC	6413	CHARLOTTE, NC
B 12/2021 - 08/2022	LPL FINANCIAL LLC	6413	CHARLOTTE, NC
B 09/2021 - 10/2021	FIDELITY BROKERAGE SERVICES LLC	7784	JACKSONVILLE, FL
IA 08/2015 - 06/2021	ALLSTATE FINANCIAL ADVISORS, LLC	109524	ORLANDO, FL
B 08/2015 - 06/2021	ALLSTATE FINANCIAL SERVICES, LLC	18272	Orlando, FL
IA 09/2013 - 01/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	JACKSONVILLE, FL
B 08/2013 - 01/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	JACKSONVILLE, FL
IA 01/2007 - 10/2008	EDWARD JONES	250	ORLANDO, FL
B 10/2006 - 10/2008	EDWARD JONES	250	ORLANDO, FL
B 04/2004 - 04/2006	NATIONWIDE SECURITIES, INC.	11173	COLUMBUS, OH
B 10/2003 - 12/2003	WORLD GROUP SECURITIES, INC.	114473	DULUTH, GA

Employment History



Registration and Employment History

Employment History, continued

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
11/2025 - Present	LPL Enterprise LLC	Registered Representative	Y	Charlotte, NC, United States
06/2024 - 10/2025	Bank of America, N.A.	Financial Solutions Advisor	Y	Charlotte, NC, United States
04/2024 - 10/2025	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Financial Solutions Advisor	Y	Charlotte, NC, United States
02/2024 - 04/2024	ACG Auto Group	life and Annuity Agent	N	Charlotte, NC, United States
11/2023 - 01/2024	UPS	Truck assistant	N	Charlotte, NC, United States
05/2023 - 11/2023	Credit Union Investment Services	Investment Advisor Rep	Y	Raleigh, NC, United States
05/2023 - 11/2023	SECU Brokerage Services	Registered Rep	Y	Raleigh, NC, United States
04/2023 - 11/2023	State Employees' Credit Union	Financial Advisory Services Specialist	Y	Mooresville, NC, United States
06/2022 - 04/2023	THE VANGUARD GROUP, INC.	REGISTERED REPRESENTATIVE	Y	CHARLOTTE, NC, United States
12/2021 - 06/2022	LPL Financial LLC	Registered Representative	Y	Charlotte, NC, United States
11/2021 - 05/2022	Event management	concession stand helper	N	Charlotte, NC, United States
06/2021 - 09/2021	Fidelity Investments	Investment Consultant (Remote)	Y	Charlotte, NC, United States
08/2015 - 05/2021	ALLSTATE INSURANCE COMPANY	AGENT	N	ORLANDO, FL, 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. 10/09/2025 - Prudential Advisors - DBA for LPL Business (entity for LPL business) - Charlotte, NC - INV REL - Start Date 10/08/2025 -

Registration and Employment History



Other Business Activities, continued

160hrs/mth | 160hrs during trading
2. 10/09/2025 - BART KENDALL GREGORY N/A Non-Variable Insurance - Non-Variable Insurance/Insurance Agency - Charlotte, NC - INV REL -
Start Date 10/08/2025 - 160hrs/mth | 160hrs during trading

End of Report



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