

**BrokerCheck Report**

**JOSHUA NICHOLAS GREGG**

CRD# 6488009

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## 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.



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)

**Thank you for using FINRA BrokerCheck.**

**JOSHUA N. GREGG**

CRD# 6488009

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

**IA GOLDMAN SACHS AYCO PERSONAL FINANCIAL MANAGEMENT**  
 100 COLISEUM DRIVE  
 COHOES, NY 12047  
 CRD# 106693  
 Registered with this firm since: 08/17/2017

**B GOLDMAN SACHS & CO. LLC**  
 100 COLISEUM DRIVE  
 COHOES, NY 12047  
 CRD# 361  
 Registered with this firm since: 01/04/2021

**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:**

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

**This broker has passed:**

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

**Registration History****This broker was previously registered with the following securities firm(s):**

**B MERCER ALLIED COMPANY, L.P.**  
 CRD# 37404  
 COHOES, NY  
 07/2015 - 01/2021

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

### Employment 1 of 2

Firm Name: **GOLDMAN SACHS & CO. LLC**

Main Office Address: **200 WEST STREET  
NEW YORK, NY 10282-2198**

Firm CRD#: **361**

SRO	Category	Status	Date
B BOX Exchange LLC	General Securities Representative	APPROVED	01/08/2021
B Cboe BYX Exchange, Inc.	General Securities Representative	APPROVED	01/08/2021
B Cboe BZX Exchange, Inc.	General Securities Representative	APPROVED	01/08/2021
B Cboe C2 Exchange, Inc.	General Securities Representative	APPROVED	01/08/2021
B Cboe EDGA Exchange, Inc.	General Securities Representative	APPROVED	01/08/2021
B Cboe EDGX Exchange, Inc.	General Securities Representative	APPROVED	01/08/2021
B Cboe Exchange, Inc.	General Securities Representative	APPROVED	01/08/2021
B FINRA	General Securities Representative	APPROVED	01/04/2021
B Investors' Exchange LLC	General Securities Representative	APPROVED	01/08/2021
B Long-Term Stock Exchange, Inc.	General Securities Representative	APPROVED	01/08/2021
B MEMX LLC	General Securities Representative	APPROVED	01/08/2021
B MIAX Emerald, LLC	General Securities Representative	APPROVED	01/08/2021
B MIAX PEARL, LLC	General Securities Representative	APPROVED	01/08/2021
B Miami International Securities Exchange, LLC	General Securities Representative	APPROVED	01/08/2021
B NYSE American LLC	General Securities Representative	APPROVED	01/08/2021



## Broker Qualifications

### Employment 1 of 2, continued

SRO	Category	Status	Date
<b>B</b> NYSE Arca, Inc.	General Securities Representative	APPROVED	01/08/2021
<b>B</b> NYSE Chicago, Inc.	General Securities Representative	APPROVED	01/08/2021
<b>B</b> NYSE National, Inc.	General Securities Representative	APPROVED	01/08/2021
<b>B</b> Nasdaq BX, Inc.	General Securities Representative	APPROVED	01/08/2021
<b>B</b> Nasdaq GEMX, LLC	General Securities Representative	APPROVED	01/08/2021
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	APPROVED	01/08/2021
<b>B</b> Nasdaq MRX, LLC	General Securities Representative	APPROVED	01/08/2021
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	APPROVED	01/08/2021
<b>B</b> Nasdaq Stock Market	General Securities Representative	APPROVED	01/08/2021
<b>B</b> New York Stock Exchange	General Securities Representative	APPROVED	01/08/2021

U.S. State/ Territory	Category	Status	Date
<b>B</b> Florida	Agent	APPROVED	03/31/2021
<b>B</b> Massachusetts	Agent	APPROVED	03/31/2021
<b>B</b> New York	Agent	APPROVED	01/04/2021
<b>B</b> Rhode Island	Agent	APPROVED	03/31/2021

### Branch Office Locations

**GOLDMAN SACHS & CO. LLC**  
 100 COLISEUM DRIVE  
 COHOES, NY 12047

### Employment 2 of 2

Firm Name: **GOLDMAN SACHS AYCO PERSONAL FINANCIAL MANAGEMENT**



## Broker Qualifications

### Employment 2 of 2, continued

Main Office Address: **100 COLISEUM DRIVE  
COHOES, NY 12047**

Firm CRD#: **106693**

U.S. State/ Territory	Category	Status	Date
<b>IA</b> New York	Investment Adviser Representative	APPROVED	04/22/2021

## Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

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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.

**This individual has passed 0 principal/supervisory exams, 3 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> National Commodity Futures Examination	Series 3	01/22/2021
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	07/24/2015

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	09/01/2015

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
<b>B</b> 07/2015 - 01/2021	MERCER ALLIED COMPANY, L.P.	37404	COHOES, NY

### 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
01/2021 - Present	GOLDMAN SACHS & CO. LLC	Mass Transfer	Y	COHOES, NY, United States
03/2015 - 01/2021	THE AYCO COMPANY, L.P./MERCER ALLIED	REGISTERED REPRESENTATIVE	Y	LATHAM, NY, United States
01/2013 - 12/2014	THE AYCO COMPANY, L.P.	INTERN	Y	LATHAM, NY, United States
08/2011 - 12/2014	ALBANY LAW SCHOOL	STUDENT	N	ALBANY, NY, United States
08/2012 - 07/2013	UNION GRADUATE COLLEGE	STUDENT	N	SCHENECTADY, NY, United States
06/2012 - 08/2012	CDPHP	INTERN	N	ALBANY, NY, United States
01/2012 - 07/2012	ALBANY LAW SCHOOL	WORK STUDY - OFFICE ASSISTANT	N	ALBANY, NY, United States
01/2009 - 01/2012	LMS INTELLIBOUND	GROCERY SELECTOR	N	SCHODACK LANDING, NY, 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.

## End of Report



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