User Guidance

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IAPD Report

JAMES HERBERT BAILEY

CRD# 1393256

Section Title / Page(s)

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

JAMES HERBERT BAILEY (CRD# 1393256)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **06/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BROOKSTONE WEALTH ADVISORS, LLC	CRD# 137658	04/25/2019
IA	TALON PRIVATE WEALTH, LLC	CRD# 298714	04/14/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	R.W. TOWT & ASSOCIATES	128837	SAN DIEGO, CA	06/11/2009 - 12/23/2009
B	EMMETT A LARKIN COMPANY, INC.	6625	TAMPA, FL	06/16/2006 - 06/12/2007
B	SALOMON GREY FINANCIAL CORPORATION	43413	DALLAS, TX	09/22/2005 - 02/27/2006

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **TALON PRIVATE WEALTH, LLC**
Main Address: 11974 COUNTY ROAD 101
SUITE 103
THE VILLAGES, FL 32162
Firm ID#: 298714

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	04/14/2021
IA	Iowa	Investment Adviser Representative	Approved	01/22/2024
IA	Nebraska	Investment Adviser Representative	Approved	06/30/2025

Branch Office Locations

TALON PRIVATE WEALTH, LLC
11974 COUNTY ROAD 101
SUITE 103
THE VILLAGES, FL 32162

Employment 2 of 2

Firm Name: **BROOKSTONE WEALTH ADVISORS, LLC**
Main Address: 1745 S NAPERVILLE RD
SUITE 200
WHEATON, IL 60189
Firm ID#: 137658

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	01/06/2020
IA	Florida	Investment Adviser Representative	Approved	04/25/2019

Branch Office Locations

Qualifications

BROOKSTONE WEALTH ADVISORS, LLC
11974 CR 101
SUITE 103
THE VILLAGES, FL 32162

BROOKSTONE WEALTH ADVISORS, LLC
3526 N 163 Rd Plaza
Omaha, NE 68116

BROOKSTONE WEALTH ADVISORS, LLC
781 CIARA CREEK COVE
#1003
LONGWOOD, FL 32750

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	08/26/1987

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7)	Series 7	07/20/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/23/2019
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/21/2005

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	06/11/2009 - 12/23/2009	R.W. TOWT & ASSOCIATES	CRD# 128837	SAN DIEGO, CA
B	06/16/2006 - 06/12/2007	EMMETT A LARKIN COMPANY, INC.	CRD# 6625	TAMPA, FL
B	09/22/2005 - 02/27/2006	SALOMON GREY FINANCIAL CORPORATION	CRD# 43413	DALLAS, TX
B	03/28/2003 - 08/04/2003	SALOMON GREY FINANCIAL CORPORATION	CRD# 43413	DALLAS, TX
B	06/11/1999 - 04/05/2001	STELLAR INVESTMENTS, INC.	CRD# 13814	TAMPA, FL
B	10/04/1996 - 06/04/1997	COHIG & ASSOCIATES, INC.	CRD# 16184	ENGLEWOOD, CO
B	07/05/1995 - 11/05/1996	DALLAS RESEARCH & TRADING, INC.	CRD# 28806	DALLAS, TX
B	09/26/1994 - 06/29/1995	INVESTORS ASSOCIATES, INC.	CRD# 958	HACKENSACK, NJ
B	12/15/1993 - 09/23/1994	TAJ GLOBAL EQUITIES, INC.	CRD# 31768	TAMPA, FL
B	07/16/1991 - 12/08/1993	J. GREGORY & COMPANY, INC.	CRD# 14892	
B	05/24/1991 - 07/30/1991	BARRON CHASE SECURITIES, INC.	CRD# 18969	BOCA RATON, FL
B	11/27/1990 - 02/27/1991	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE
B	07/24/1985 - 12/03/1990	THE STUART-JAMES COMPANY, INCORPORATED	CRD# 11691	DENVER, CO

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2021 - Present	TALON PRIVATE WEALTH, LLC	INVESTMENT ADVISER	Y	THE VILLAGES, FL, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
		REPRESENTATIVE		
04/2019 - Present	RETIREMENT WEALTH ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	ORLANDO, FL, United States
07/2014 - 04/2019	SELF EMPLOYED	SUPERCROSS COACH	N	ORLANDO, FL, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

RETIREMENT WEALTH ADVISORS, INC; INVESTMENT RELATED; LONGWOOD, FL; INVESTMENT ADVISORY FIRM; IAR; STARTED 04/2019; 80 HOURS/MONTH DEVOTED DURING TRADING

TALON PRIVATE WEALTH, LLC; INVESTMENT RELATED; THE VILLAGES, FL, INVESTMENT ADVISORY FIRM; IAR; START DATE: 04/2021

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
    - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: DALLAS RESEARCH & TRADING, INC.

Allegations: OTHER; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED-BREACH OF CONTRACT

Product Type:

Alleged Damages:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-05405

Date Notice/Process Served: 12/18/1996

Arbitration Pending? No

Disposition: Other

Disposition Date: 10/16/1998

Disposition Detail: AWARD AGAINST PARTY
** RESPONDENT BAILEY IS FOUND LIABLE AND
SHALL PAY TO THE CLAIMANTS THE SUM OF $20,000.00 **

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:	DALLAS RESEARCH & TRADING, INC.
Allegations:	BREACH OF FIDUCIARY DUTY, NEGLIGENCE, AND BREACH OF CONTRACTUAL RELATIONSHIP
Product Type:	Equity-OTC
Alleged Damages:	$216,522.43
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	TAMPA, FL
Docket/Case #:	96-05405
Filing date of arbitration/CFTC reparation or civil litigation:	12/09/1996

Customer Complaint Information

Date Complaint Received:	12/18/1996
Complaint Pending?	No
Status:	Settled
Status Date:	10/16/1998
Settlement Amount:	$216,522.43
Individual Contribution Amount:	$20,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	96-05405
Date Notice/Process Served:	12/18/1996
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	10/16/1998
Monetary Compensation Amount:	$216,522.43
Individual Contribution Amount:	$20,000.00
Broker Statement	SETTLEMENT OF $20,000 ONLY IF DALLAS RESEARCH DIDN'T PAY. NOT PROVIDED

End of Report

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