



IAPD Report

GREGORY JOHN GALL

CRD# 1824483

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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

GREGORY JOHN GALL (CRD# 1824483)

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 **11/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BROOKSTONE WEALTH ADVISORS, LLC	CRD# 137658	01/13/2020

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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
IA	REGAL INVESTMENT ADVISORS LLC	125004	Woodbury, MN	06/05/2017 - 01/03/2020
IA	WEALTH WATCH ADVISORS, LLC	172002	WOODBURY, MN	07/16/2015 - 06/30/2017
IA	SAWTOOTH SOLUTIONS, LLC	175009	WOODBURY, MN	03/18/2015 - 08/20/2015

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
Regulatory Event	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

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	Minnesota	Investment Adviser Representative	Approved	01/13/2020
IA	Wisconsin	Investment Adviser Representative	Approved	01/13/2020

Branch Office Locations

BROOKSTONE WEALTH ADVISORS, LLC
455 BLUEBIRD DR N
HUDSON, WI 54016

BROOKSTONE WEALTH ADVISORS, LLC
6053 Hudson Road Ste 210
Woodbury, MN 55125



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	12/19/2002

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7)	Series 7	08/14/2002
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/19/1988

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	02/19/2003
Uniform Securities Agent State Law Examination (S63)	Series 63	04/21/1988

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	06/05/2017 - 01/03/2020	REGAL INVESTMENT ADVISORS LLC	CRD# 125004	Woodbury, MN
IA	07/16/2015 - 06/30/2017	WEALTH WATCH ADVISORS, LLC	CRD# 172002	WOODBURY, MN
IA	03/18/2015 - 08/20/2015	SAWTOOTH SOLUTIONS, LLC	CRD# 175009	WOODBURY, MN
IA	04/12/2010 - 03/20/2015	SAWTOOTH ASSET MANAGEMENT, INC.	CRD# 150506	WOODBURY, MN
B	06/09/2011 - 04/22/2013	DEMPSEY LORD SMITH, LLC	CRD# 141238	ROME, GA
B	11/14/2002 - 04/16/2010	ONEAMERICA SECURITIES, INC.	CRD# 4173	WOODBURY, MN
B	04/21/1988 - 11/15/2002	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	MINNEAPOLIS, MN

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
01/2020 - Present	Brookstone Wealth Advisors	INVESTMENT ADVISOR REPRESENTATIVE	Y	Wheaton, IL, United States
09/2015 - Present	EAGLE TEAM, LLC	INSURANCE AGENT RECRUITING	Y	Woodbury, MN, United States
04/2013 - Present	AQUILA TEAM LLC	PARTNER	N	WOODBURY, MN, United States
06/2007 - Present	GGGGRE LLC	RENTAL PROPERTIES	Y	WOODBURY, MN, United States
11/2002 - Present	AMERICAN UNITED LIFE	AGENT	N	ST LOUIS PARK, MN, United States
11/2002 - Present	VIP FINANCIAL	INDEPENDENT CONTRACTOR/RIAR	Y	WOODBURY, MN, United States
07/2020 - 07/2022	PRODUCER PARTNERS GROUP	PARTIAL OWNER	Y	GRAND JUNCTION, CO, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2019 - 07/2022	LEGACY LOCK	Agent	N	CENTERVILLE, UT, United States
12/2019 - 07/2021	DIGITAL ADVISOR ALLIANCE/SMART RETIREMENT	ADVISOR	Y	VERO BEACH, FL, United States
04/2017 - 01/2020	REGAL INVESTMENT ADVISORS, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	Kentwood, MI, United States
07/2015 - 03/2017	WEALTH WATCH ADVISORS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ROCKLEDGE, 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.

VIP FINANCIAL ASSOCIATES LLC; INVESTMENT RELATED; 563 BIELENBERG DR., SUITE 105, WOODBURY, MN 55125; INSURANCE AND INVESTMENT ADVISORY; OWNER; STARTED 11/2002; 70 HOURS/MONTH DEVOTED; 70 HOURS/MONTH DEVOTED DURING SECURITIES TRADING HOURS; OFFER INVESTMENT ADVISORY AND INSURANCE PRODUCTS.

EAGLE TEAM LLC, INVESTMENT RELATED; 563 BIELENBERG DR., SUITE 105, WOODBURY, MN 55125; INSURANCE; PARTIAL OWNER; STARTED 09/2015; 120 HOURS/MONTH DEVOTED; 100 HOURS/MONTH DEVOTED DURING SECURITIES TRADING HOURS; INSURANCE SALES TRAINING.

ERC EMPLOYEE RETENTION CREDIT, REPRESENTATIVE, 560 TIMPONGOS CIRCLE OREM, UT 84097, REFERRAL OF BUSINESS OWNERS FOR EMPLOYEE RETENTION CREDIT, 1 HOUR/MONTH, PAID COMMISSIONS

LEGACY LOCK, NON INVESTMENT RELATED; 1148 W LEGACY CROSSING BLVD, STE 350, CENTERVILLE, UT 84014, WILLS/TRUSTS; AGENT; STARTED 11/2019; 5 HOURS/MONTH DEVOTED; 5 HOURS/MONTH DEVOTED DURING SECURITIES TRADING HOURS; PREPARATION OF WILL/TRUST DOCUMENTS.

DIGITAL ADVISOR ALLIANCE/ SMART RETIREMENT; NON INVESTMENT RELATED; 3320 CARDINAL DR, VERO BEACH FL 32963, INSURANCE; AGENT; STARTED 12/2019; 10 HOURS/MONTH DEVOTED; 10 HOURS/MONTH DEVOTED DURING SECURITIES TRADING HOURS; INSURANCE AND DEBT ELIMINATION.

GGGGRE LLC; NON INVESTMENT RELATED; 563 BIELENBERG DR., SUITE 105, WOODBURY, MN 55125; RENTAL PROPERTIES; OWNER; STARTED 06/2007; 3 HOURS/MONTH; 0 HOURS/MONTH DEVOTED DURING SECURITIES TRADING HOURS; MANAGE RENTAL PROPERTIES.

PRODUCER PARTNERS GROUP; INVESTMENT RELATED; 205 N 4TH ST, STE 307, GRAND JUNCTION, CO 81501; INSURANCE; PARTIAL OWNER; STARTED 07/2020; 10 HOURS/MONTH DEVOTED; 5 HOURS/MONTH DEVOTED DURING SECURITIES TRADING HOURS; BOOKKEEPING AND CASE WORK WITH OTHER AGENTS.

COMMONS OFFICE; NON INVESTMENT RELATED; 563 BIELENBERG DR, WOODBURY, MN 55125; COMMERCIAL REAL



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ESTATE MANAGEMENT; OFFICER; STARTED 02/2021; 1 HOUR/MONTH DEVOTED; 1 HOUR/MONTH DEVOTED DURING SECURITIES TRADING HOURS; OFFER COMMERCIAL REAL ESTATE MANAGEMENT.

Structured Administration LLC, 4476 Palm Grove Drive, Las Vegas, NV 89120; Refers business owners selling their businesses to them. They do tax mitigation. Start date of 12/2024. Not investment related. .5 hours a month dedicated to this. Splitting admin fee if the client hires them



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF FLORIDA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	01/07/2016
Docket/Case Number:	188439-16-AG
Employing firm when activity occurred which led to the regulatory action:	EAGLE TEAM LLC
Product Type:	No Product
Allegations:	IN APPLYING FOR AN AGENCY INSURANCE LICENSE IN THE STATE OF FL. CHECKED NO TO A YES BOX. DOCUMENTATION WAS UPLOADED TO NIPR WAREHOUSE FOR THE YES EXPLANATION. LESS EXPENSIVE TO PAY FINE THAN GO TO COURT IN FL.
Current Status:	Final
Action Appealed To:	State Agency or Commission
Date Appeal filed:	
Appeal Limitation Details:	
Resolution:	Stipulation and Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	04/13/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,500.00
Portion Levied against individual:	\$0.00
Payment Plan:	PAID IN FULL
Is Payment Plan Current:	No
Date Paid by individual:	03/30/2016
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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