IAPD Report

STEPHEN JOSEPH AGRISTA

CRD# 1840

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

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.

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

STEPHEN JOSEPH AGRISTA (CRD# 1840)

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 **04/04/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BROOKSTONE WEALTH ADVISORS, LLC	CRD# 137658	01/11/2022

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	VANDERBILT ADVISORY SERVICES	116537	Doylestown, PA	12/21/2018 - 03/31/2020
B	VANDERBILT SECURITIES, LLC	5953	Wanamassa, NJ	12/20/2018 - 03/31/2020
IA	ONPOINTE ADVISORY AND FINANCIAL SERVICES, LLC	162143	Ocean Township, NJ	01/27/2017 - 11/10/2017

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	2

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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	New Jersey	Investment Adviser Representative	Approved	01/31/2022
IA	Pennsylvania	Investment Adviser Representative	Approved	01/11/2022

Branch Office Locations

BROOKSTONE WEALTH ADVISORS, LLC
3201 Sunset Ave.
Wanamassa, NJ 07712

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	12/22/2022

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	12/22/2022
B	Securities Industry Essentials Examination (SIE)	SIE	12/31/2016
B	Registered Representative Examination (S1)	Series 1	10/29/1973

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/30/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/07/1988

PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	12/21/2018 - 03/31/2020	VANDERBILT ADVISORY SERVICES	CRD# 116537	Doylestown, PA
B	12/20/2018 - 03/31/2020	VANDERBILT SECURITIES, LLC	CRD# 5953	Wanamassa, NJ
IA	01/27/2017 - 11/10/2017	ONPOINTE ADVISORY AND FINANCIAL SERVICES, LLC	CRD# 162143	Ocean Township, NJ
IA	10/22/2012 - 12/31/2016	ON INVESTMENT MANAGEMENT CO	CRD# 105662	CINCINNATI, OH
B	10/22/2012 - 12/31/2016	THE O.N. EQUITY SALES COMPANY	CRD# 2936	WANAMASSA, NJ
IA	07/20/2004 - 10/24/2012	NPA ASSET MANAGEMENT, LLC	CRD# 131534	WANAMAAZ, NJ
B	06/02/2004 - 10/22/2012	NATIONWIDE PLANNING ASSOCIATES INC.	CRD# 31029	WANAMASSA, NJ
IA	06/19/2002 - 10/22/2012	COMPREHENSIVE FINANCIAL CONSULTANTS, INC.	CRD# 120560	OCEAN, NJ
B	06/18/1989 - 06/01/2004	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	07/01/1987 - 06/18/1989	SOUTHMARK FINANCIAL SERVICES, INC.	CRD# 6518	
B	12/05/1979 - 07/08/1987	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	CRD# 5774	
B	11/02/1973 - 11/27/1979	NEW YORK LIFE VARIABLE CONTRACTS CORPORATION	CRD# 5167	

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
01/2022 - Present	Brookstone Wealth Advisors	Investment Advisor Representative	Y	Grand Rapids, MI, United States
01/2018 - Present	COMPREHENSIVE FINANCIAL CONSULTANTS, INC.	INSURANCE AGENT	Y	OCEAN, NJ, United States

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Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2018 - 03/2020	VANDERBILT ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	WOODBURY, NY, United States
12/2018 - 03/2020	VANDERBILT SECURITIES, LLC	REGISTERED PRINCIPAL; REGISTERED REPRESENTATIVE	Y	WOODBURY, NY, United States
01/2017 - 12/2017	ONPOINTE ADVISORY AND FINANCIAL SERVICES, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	PETALUMA, CA, United States
09/2012 - 12/2017	OHIO NATIONAL FINANCIAL SERVICES	PGA	N	CINCINNATI, OH, United States
10/2012 - 12/2016	THE O. N. EQUITY SALES COMPANY	REGISTERED REP/INVESTMENT ADVISER REP	Y	CINCINNATI, OH, 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.

1) SJA HORSE EXHIBITORS, NON INVESTMENT RELATED, 122 EAST STATE STREET, DOYLESTOWN, PA 18901, OWNER 06/1995, 2 HOURS/MONTH, 0 HOURS DURING TRADING HOURS, OVERALL MANAGEMENT DUTIES.

2)COMPREHENSIVE FINANCIAL CONSULTANTS; 3201 SUNSET AVE WANAMASSA NJ 07712; INSURANCE; AGENT; START DATE: 1973, 100% OWNERSHIP, TIME SPENT DURING NORMAL BUSINESS HOURS - 75%; SELLS TRADITIONAL LIFE INSURANCE, FIXED AND EQUITY INDEXED ANNUITIES..

3) STEPHEN AGRISTA , RFC - LICENSED AGENT - ADVISE AND SALE OF LIFE, HEALTH, AND DISABILITY INSURANCE, FIXED AND EQUITY INDEXED ANNUITIES; TIME SPENT DURING NORMAL BUSINESS HOURS - 75%.

4) EAGLE MGMT CO LLC - 3201 SUNSET AVE WANANASSA NJ, PRESIDENT, MANAGEMENT OF PERSONAL HOLDINGS AND ACTIVITIES UNRELATED TO COMPREHENSIVE FINANCIAL CONSULTANTS OR ANY OTHER LISTED OBA. ITS A PROPERTY MANAGEMENT/PERSONAL MANAGEMENT ACTIVITY.

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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.

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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	2

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 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NATIONWIDE PLANNING ASSOCIATES, INC.

Allegations: THE CUSTOMER ALLEGES THAT TENANT-IN-COMMON INTERESTS HE PURCHASED WERE UNSUITABLE. ALLEGATIONS RELATE TO ACTIVITIES IN APRIL 2006.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: $1,003,565.22

Customer Complaint Information

Date Complaint Received: 05/19/2008

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 05/19/2008

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

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Docket/Case #:	08-01280
Date Notice/Process Served:	05/19/2008
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/11/2009
Monetary Compensation Amount:	$25,000.00
Individual Contribution Amount:	$0.00
Broker Statement	PRIOR TO THE TRANSACTION IN QUESTION, THE REPRESENTATIVE CONDUCTED AN IN DEPTH SUITABILITY REVIEW DISCLOSING ALL RISKS, AND THE CLIENTS, WITH WHOM THE REPRESENTATIVE HAD AN EXISTING RELATIONSHIP, CONDUCTED A REVIEW OF ALL DOCUMENTATION RELATED TO THE TRANSACTION WITH THEIR ACCOUNTANT AND ATTORNEY. THE REPRESENTATIVE AND THE BROKER DEALER VEHEMENTLY REFUTE THESE ALLEGATIONS, AND IN ORDER TO AVOID THE COST OF CONTINUING DEFENSE, THE BROKER DEALER MADE A BUSINESS DECISION TO SETTLE THIS CLAIM. MR. AGRISTA WAS NOT ASKED TO, NOR DID HE CONTRIBUTE TO, THE SETTLEMENT.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SUNAMERICA SECURITIES, INC.
Allegations:	CUSTOMER TRANSFERRED TO A NEW BROKER. THE NEW BROKER WROTE A LETTER FOR THE CLIENT REQUESTING DOCUMENTATION SUBSTANTIATING THE DISCLOSURE OF CONTINGENT DEFERRED SALES CHARGES (CDSC) RELATED TO AN ANNUITY AND THE DISCLOSURE OF INVESTMENT ADVISORY SOLICITOR FEES.THE LETTER ALLEGES LACK OF DISCLOSURE REGARDING THE ANNUITY A CONTINGENT DEFERRED SALES CHARGE AND INVESTMENT ADVISORY SOLICITOR'S FEE. ASSUMING THAT THE DISCLOSURES HAD NOT BEEN MADE THE CLIENT SOUGHT A REFUND OF THE CDSC AND THE SOLICITOR FEES. THE REFUND WOULD HAVE EXCEEDED $5,000. THE FIRM FOUND THE CLAIM TO BE WITHOUT MERIT. WRITTEN DISCLOSURES INCLUDING A YEAR BY YEAR SUMMARY OF THE CDSC CHARGES WERE PROVIDED TO THE CLIENT AT LEAST TWICE, ONCE BEFORE THE TRANSACTION AND ONCE MORE DURING THE FREE LOOK PERIOD. THE SOLICITOR FEE ARRANGEMENT WAS DISCLOSED IN WRITING TO THE CLIENT ON THREE SEPARATE OCCASIONS IN AT LEAST THREE CONTRACTS AND IN AT LEAST THREE SOLICITOR FEE DISCLOSURE DOCUMENTS. THE CLIENT SIGNED EACH OF THE CONTRACTS AND DISCLOSURES PRIOR TO MAKING THE INVESTMENTS.THE FIRM INTENDS TO VIGOROUSLY DEFEND ITSELF AND MR. AGRISTA AGAINST THIS MERITLESS CLAIM.
Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	INVESTMENT ADVISORY SOLICITOR FEES.
Alleged Damages:	$5,000.00

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Customer Complaint Information

Date Complaint Received:	02/06/2001
Complaint Pending?	No
Status:	Denied
Status Date:	03/02/2001
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

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End of Report

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