User Guidance

www.adviserinfo.sec.gov

IAPD Report

Reginald Lowell Bridges

CRD# 1957400

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

Reginald Lowell Bridges (CRD# 1957400)

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 **01/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BROOKSTONE WEALTH ADVISORS, LLC	CRD# 137658	10/02/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	611	LUBBOCK, TX	01/11/2019 - 10/24/2019
IA	CLA USA ADVISORY GROUP, LLC	167696	LUBBOCK, TX	10/17/2014 - 12/11/2018
IA	WADDELL & REED, INC.	866	LUBBOCK, TX	10/16/2001 - 04/25/2003

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 **1** 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	Texas	Investment Adviser Representative	Approved	10/02/2024

Branch Office Locations

BROOKSTONE WEALTH ADVISORS, LLC
2034 82nd St. Suite 101
Lubbock, TX 79423

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7)	Series 7	01/20/1994
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/21/1989

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/09/2024
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/15/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/21/1989

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	01/11/2019 - 10/24/2019	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	LUBBOCK, TX
IA	10/17/2014 - 12/11/2018	CLA USA ADVISORY GROUP, LLC	CRD# 167696	LUBBOCK, TX
IA	10/16/2001 - 04/25/2003	WADDELL & REED, INC.	CRD# 866	LUBBOCK, TX
B	07/17/2001 - 04/25/2003	WADDELL & REED, INC.	CRD# 866	OVERLAND PARK, KS
B	02/25/1999 - 08/29/2001	RUSHMORE SECURITIES CORPORATION	CRD# 8392	DALLAS, TX
B	05/28/1998 - 11/10/1998	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	APPLETON, WI
B	01/24/1994 - 06/12/1998	NORWEST INVESTMENT SERVICES, INC.	CRD# 16100	MINNEAPOLIS, MN
B	01/03/1992 - 01/29/1994	ARAGON FINANCIAL SERVICES, INC.	CRD# 16023	IRVINE, CA
B	09/04/1990 - 08/08/1991	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY
B	09/22/1989 - 07/09/1990	SECURITY FIRST FINANCIAL, INC.	CRD# 6695	NEWPORT BEACH, CA

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
05/2022 - Present	Insurance Agent	Independent Life & Health Agent	N	Lubbock, TX, United States
12/2021 - 04/2022	G & A Diversified Tax Services, LLC	Tax Preparer	N	Lubbock, TX, United States
05/2020 - 11/2021	Insurance Agent	Independent Life & Health Agent	N	Lubbock, TX, United States
11/2019 - 04/2020	G&A Diversified Tax Services, LLC	Tax Preparer	N	Lubbock, TX, United States
01/2019 - 10/2019	Mutual of Omaha Investor Services	Investment Advisor Rep	Y	Omaha, NE, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2018 - 10/2019	Mutual of Omaha Insurance Company	Insurance Agent	N	Omaha, NE, United States
05/2014 - 12/2018	CLA USA ADVISORY GROUP, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	FRISCO, TX, United States
12/2013 - 12/2018	CLA USA INC	INSURANCE AGENT	N	FRISCO, TX, 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.

Insurance Agent with Forward Strategies Insurance Brokerage, LLC. Investment related. 12/2019 - Pres. Sell Life Insurance and Fixed Indexed Annuities. 80 to 120 hours per month. 4 to 8 hours per day during securities trading.
Insurance Agent with Senior Benefits Solutions of West Texas. Non-Investment related. 07/2022 - Pres. Sell Medicare Supplements and Advantage Plans. 20 to 40 hours per month. 1 to 2 hours per day during securities trading.
Magellan Financial - Sell fixed and Indexed Annuities. Investment related. 12/7/2025-80 hours.
Building Financial Bridges - Sells annuities, securities, insurance, estate planning. Investment related. 1/1/2026. 60-80 hours

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:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	02/09/2001
Docket/Case Number:	CV-01-1283PA
Employing firm when activity occurred which led to the regulatory action:	RUSHMORE SECURITIES CORP.
Product Type:	Other
Other Product Type(s):	PAY TELEPHONES
Allegations:	THE SALE OF PAY TELEPHONES BY ALPHA TELECOM-INC AND ALPHA ENTITIES MAY CONSTITUTE THE SALE OF AN UNREGISTERED SECURITY.
Current Status:	Final
Resolution:	Order
Resolution Date:	09/06/2001
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	N/A
Sanction Details:	CEASE AND DESIST INJUNCTION TO ALL REPRESENTATIVES OF ALPHA TELECOM AND SPA MARKETING. COMPANY FORCED INTO RECEIVERSHIP. NO OTHER INDIVIDUAL SANCTIONS.

Broker Statement	ALPHA TELCOM FILED FOR CHAPTER 13 BANKRUPTCY PRIOR TO THE SEC ISSUE OF AN INJUNCTION ON SEPT 6, 2001. THE COMPANY IS IN RECEIVERSHIP AND BEING MANAGED BY THOMAS F LENNON UNTIL FINAL DISPOSITION. A HEARING WAS SCHEDULED FOR OCT 29, 2001 WITH REGARD TO THE SEC ALLEGATIONS BUT NO DECISION HAS BEEN MADE AND I HAVE NOT HAD ANY OTHER CORRESPONDENCE TO DATE. ALOHA TELCOM IS STILL IN BUSINESS BUT ALL REVENUE AND ASSETS ARE BEING HELD BY THE RECEIVER AT THIS TIME.

End of Report

This page is intentionally left blank.

