



IAPD Report

RUSSELL BRADFORD DOW

CRD# 2082577

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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

RUSSELL BRADFORD DOW (CRD# 2082577)

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 **04/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BOLTON GLOBAL CAPITAL	CRD# 15650	10/28/2005
IA	BOLTON GLOBAL ASSET MANAGEMENT	CRD# 129376	11/17/2009
IA	DOW FAMILY OFFICE ADVISORY, LLC	CRD# 340475	04/28/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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	DELTA GLOBAL ASSET MANAGEMENT	129376	BOLTON, MA	11/08/2007 - 11/13/2009
B	ADVEST, INC.	10	HARTFORD, CT	01/16/1992 - 11/10/2005
B	ADVEST, INC.	10	HARTFORD, CT	08/09/1990 - 10/05/1990

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 **27** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **DOW FAMILY OFFICE ADVISORY, LLC**
Main Address: 8205 NATURE'S WAY
#219
LAKEWOOD RANCH, FL 34202
Firm ID#: 340475

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	05/07/2026
IA Texas	Investment Adviser Representative	Restricted Approval	04/28/2026

Branch Office Locations

DOW FAMILY OFFICE ADVISORY, LLC
8205 NATURE'S WAY
#219
LAKEWOOD RANCH, FL 34202

Employment 2 of 3

Firm Name: **BOLTON GLOBAL CAPITAL**
Main Address: 579 MAIN STREET
BOLTON, MA 01740
Firm ID#: 15650

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/28/2005
B Alaska	Agent	Approved	10/16/2012
B California	Agent	Approved	10/28/2005
B Colorado	Agent	Approved	05/09/2006



Qualifications

Regulator	Registration	Status	Date
B Connecticut	Agent	Approved	10/28/2005
B Florida	Agent	Approved	10/28/2005
B Illinois	Agent	Approved	10/28/2005
B Indiana	Agent	Approved	01/10/2018
B Maine	Agent	Approved	10/28/2005
B Maryland	Agent	Approved	05/05/2016
B Massachusetts	Agent	Approved	10/28/2005
B Michigan	Agent	Approved	12/22/2011
B Missouri	Agent	Approved	11/14/2008
B Nebraska	Agent	Approved	04/26/2018
B Nevada	Agent	Approved	10/28/2005
B New Hampshire	Agent	Approved	10/28/2005
B New Jersey	Agent	Approved	10/28/2005
B New Mexico	Agent	Approved	10/28/2005
B New York	Agent	Approved	10/28/2005
B North Carolina	Agent	Approved	10/28/2005
B Ohio	Agent	Approved	10/28/2005
B Oregon	Agent	Approved	10/28/2005
B Pennsylvania	Agent	Approved	10/28/2005



Qualifications

Regulator	Registration	Status	Date
B Rhode Island	Agent	Approved	04/23/2018
B Tennessee	Agent	Approved	04/19/2023
B Texas	Agent	Approved	07/01/2013
B Virginia	Agent	Approved	10/28/2005
B Washington	Agent	Approved	10/28/2005

Branch Office Locations

358 U. S. ROUTE ONE
FALMOUTH, ME 04105

8205 NATURE'S WAY
219
LAKEWOOD RANCH, FL 34202

1441 BRICKELL AVE
SUITE 1700
MIAMI, FL 33131

Sarasota, FL

Employment 3 of 3

Firm Name: **BOLTON GLOBAL ASSET MANAGEMENT**
Main Address: 579 MAIN STREET
BOLTON, MA 01740
Firm ID#: 129376

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	03/21/2017
IA Maine	Investment Adviser Representative	Approved	11/17/2009

Branch Office Locations

BOLTON GLOBAL ASSET MANAGEMENT
358 U.S. ROUTE ONE
FALMOUTH, ME 04105

BOLTON GLOBAL ASSET MANAGEMENT
8205 NATURES WAY
SUITE # 219
LAKEWOOD, FL 34202

BOLTON GLOBAL ASSET MANAGEMENT
1441 BRICKELL AVENUE



Qualifications

SUITE 1700
MIAMI, FL 33131



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 2 state securities law exams.

Principal/Supervisory Exams


Exam	Category	Date
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No information reported.

General Industry/Product Exams


Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	08/08/1990
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	11/07/2007
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 Uniform Securities Agent State Law Examination (S63)	Series 63	08/17/1990
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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
IA	11/08/2007 - 11/13/2009	DELTA GLOBAL ASSET MANAGEMENT	CRD# 129376	BOLTON, MA
B	01/16/1992 - 11/10/2005	ADVEST, INC.	CRD# 10	HARTFORD, CT
B	08/09/1990 - 10/05/1990	ADVEST, INC.	CRD# 10	HARTFORD, CT

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
04/2026 - Present	DOW FAMILY OFFICE ADVISORY, LLC	MANAGING MEMBER, SENIOR PORTFOLIO MANAGER, AND CHIEF COMPLIANCE OFFICER	Y	LAKEWOOD RANCH, FL, United States
11/2009 - Present	BOLTON GLOBAL ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	LAKEWOOD RANCH, FL, United States
10/2005 - Present	BOLTON GLOBAL CAPITAL	REGISTERED REPRESENTATIVE	Y	LAKEWOOD RANCH, 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.

1) Russell Dow is dually registered as an investment advisor representative and registered representative with Bolton Global Asset Management and Bolton Global Capital (collectively "Bolton") since 2005 and as an investment advisor representative with Dow Family Office Advisory, LLC since 04/2026. Business is conducted from 8205 Nature's Way, Lakewood Ranch, FL 34202. Approximately 50% of Mr. Dow's time is dedicated for activities as an investment advisor representative and registered representative of Bolton, with the balance as an investment advisor representative of Dow Family Office Advisory, LLC. 2) Owner of Dow Wealth Management, LLC. Entity established to operate securities and investment advisory businesses. Pays branch expenses. Conducted from branch location. Not directly investment related. Time spent varies per month. Began 2005. Dow.us. Rep is contact person. 3) Owner Dow Software, LLC. Entity set up to develop and sell computer software that relates to investment services. Not investment related. Conducted from branch location. Time spent varies per month.. Began activity in 11/2011. Websites include dowsoftware.com and stradprofessional.com. 4) Co-owns Dow Publishing Company, Inc. with family members. Entity develops and holds investment related publications, but does not offer recommendations. Conducted from branch location. 0 hours spent per month on activity. Began 08/2012. Rep is contact person. 5) Owner of San Marco, LLC. Real estate holding company that owns an office condominium located in Lakewood Ranch, Florida, where Lakewood Branch is located. Less than 1 hour spent per month on activity outside of trading



Registration & Employment History



OTHER BUSINESS ACTIVITIES

hours. Conducted from branch location. Not investment related. Established 11/2011. Rep is contact person. 6) Owner of Dow Commercial Properties, LLC. Real estate holding company that owns office condominium located in Maine where Falmouth Branch is located. Less than 1 hour spent per month on activity outside of trading hours. Conducted from branch location. Not investment related. Established 11/2012. Rep is contact person. 7) Co-owner of KrisAssists.com, LLC. Website set up to provide information for disabled individuals. Not investment. Conducted from Branch location in Florida. 0-hours per month. Website is active, but co-owners are not currently engaged in operations. Began November of 2011. Website is krisassists.com. Rep is contact person. 8) Owner of DOW Holdings, LLC, entity created to own and/or operate DOW Wealth Management, LLC, DOW Software, LLC, DOW Commercial Properties, LLC, DOW - San Marco, LLC, and KrisAssets.com, LLC. Investment related to the extent that the entity owns DOW Wealth Management, LLC. 1 hour spent per month outside business hours. Conducted from Branch location and Rep is contact person. 9) Russell is trustee of Dow Wealth Management's 401K plan. Investment related and conducted from branch location. 0-hours per month. 10) Russ is owner and Manager of Dow IP, LLC, Florida company that is owner of Dow Software Hungary Kft. 0-hours per month. Not directly related to investments. Conducted from Florida Branch location. Established 01/28/2021. 11) Russ is owner and President of Dow Software Hungary Kft. Company is registered in the country of Hungary. This company's purpose is to operate a technology development team. Dow IP, LLC will own any intellectual property created by Dow Software Hungary Kft, then license intellectual with Dow Software, LLC for sale and distribution. Established 06/01/2025. 1 hour spent per month. 12) Co-owner of H & Z Ranch, LLC, entity established 09/2025 in Florida. Purpose is to be an operating entity for a ranch. Not investment related and not conducted from Branch location. 5-hours committed per month during trading hours. 14) Owner of Dow Holdings - Ranch 7771, LLC. Purpose is to own a ranch. Not investment related and not conducted from Branch location. 15) Owner/Manager of Strad Tax and Accounting Group, LLC, Not investment related.



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:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	03/21/2017
Docket/Case Number:	70715-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Bolton Securities Corporation
Product Type:	No Product
Allegations:	Conducted investment advisory business from offices within this state without the benefit of lawful registration.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/21/2017
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$15,000.00**Portion Levied against individual:** \$15,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 03/21/2017**Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement**

On 3/21/2017, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Russell Bradford Dow. Mr. Dow accepts and agrees to, without a hearing and without an adjudication of any issue of law or fact, to the finding of the Office. The Office found that Russell Bradford Dow engaged in investment advisory business from offices within this state without the benefit of lawful registration in the state of Florida pursuant to section 517.12(4), F. S. Mr. Dow agreed to pay an administrative fine in the amount of \$15,000. The Office agreed to approve Russell Bradford Dow's application as an associated person (RA) with Bolton Securities Corporation effective 3/21/2017.

Reporting Source: Individual**Regulatory Action Initiated By:** FLORIDA OFFICE OF FINANCIAL REGULATION**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)**Date Initiated:** 03/21/2017**Docket/Case Number:** 70715-SR**Employing firm when activity occurred which led to the regulatory action:** BOLTON SECURITIES CORPORATION**Product Type:** No Product**Allegations:** Conducted investment advisory business from offices within this state without the benefit of lawful registration.**Current Status:** Final**Resolution:** Order**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No**Resolution Date:** 03/21/2017



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: \$15,000.00

Portion Levied against individual: \$15,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 03/21/2017

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

Mr. Dow relied on the Firm, Bolton Securities Corporation to maintain his registrations in good order. The Firm made a clerical reporting error and has agreed to pay the fine.



End of Report

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