



IAPD Report

STEVEN EUGENE BOYER

CRD# 2176313

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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

STEVEN EUGENE BOYER (CRD# 2176313)

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 **01/23/2026**.

CURRENT EMPLOYERS

| Firm | CRD# | Registered Since |
|------------------------------------|-------------|------------------|
| IA BROOKSTONE WEALTH ADVISORS, LLC | CRD# 137658 | 06/28/2016 |

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 WEALTH WATCH ADVISORS, LLC | 172002 | Reedsville, PA | 09/17/2015 - 06/28/2016 |
| IA GMF PRIVATE WEALTH MANAGEMENT, LP | 159471 | REEDSVILLE, PA | 07/09/2014 - 10/12/2015 |
| B PRUCO SECURITIES CORPORATION | 5685 | REEDSVILLE, PA | 10/21/1991 - 09/03/1993 |

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 | 2 |
| Termination | 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 |
|-----------------------------------------------------------------------------------|--------------|-----------------------------------|---------------------|------------|
|  | Pennsylvania | Investment Adviser Representative | Approved | 06/28/2016 |
|  | Texas | Investment Adviser Representative | Restricted Approval | 01/26/2026 |

Branch Office Locations

BROOKSTONE WEALTH ADVISORS, LLC
407 Electric Avenue
Lewistown, PA 17044



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, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

No information reported.

General Industry/Product Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|-----------------------------------------------------------------------------------------|----------|------------|
| B Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 10/18/1991 |
|-----------------------------------------------------------------------------------------|----------|------------|

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|------------------------------------------------------------|-----------|------------|
| IA Uniform Investment Adviser Law Examination (S65) | Series 65 | 05/05/2014 |
|------------------------------------------------------------|-----------|------------|

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 | 09/17/2015 - 06/28/2016 | WEALTH WATCH ADVISORS, LLC | CRD# 172002 | Reedsville, PA |
| IA | 07/09/2014 - 10/12/2015 | GMF PRIVATE WEALTH MANAGEMENT, LP | CRD# 159471 | REEDSVILLE, PA |
| B | 10/21/1991 - 09/03/1993 | PRUCO SECURITIES CORPORATION | CRD# 5685 | |
| B | 10/21/1991 - 09/03/1993 | THE PRUDENTIAL INSURANCE COMPANY OF AMERICA | CRD# 680 | |

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 |
|-------------------|-------------------------------|-----------------------------------|--------------------|-------------------------------|
| 06/2016 - Present | Brookstone Wealth Advisors | Investment Advisor Representative | Y | Reddsville, PA, United States |
| 06/1994 - Present | FISCAL FIT FINANCIAL SERVICES | OWNER/SOLE PROPRIETOR | Y | REEDSVILLE, PA, United States |
| 09/2015 - 06/2016 | 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.

FISCAL FIT FINANCIAL SERVICES, INVESTMENT RELATED, PA 17044 - STARTED JUNE 1994; SOLE PROPRIETORSHIP; INSURANCE SALES (ANNUITIES AND LIFE); 60 HOURS A WEEK (40 HOURS A WEEK DURING TRADING HOURS). INSURANCE, ANNUITY SALES, AND SECURITIES.

Tax preparation for individuals, Non investment related. Stated Nov 2001. Approximately 10 hours a month but up to 25 hours during tax season.



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 | 2 |
| Termination | 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 2

| | |
|----------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Reporting Source: | Individual |
| Regulatory Action Initiated By: | NATIONAL ASSOCIATION OF SECURITIES DEALERS |
| Sanction(s) Sought: | Bar Monetary Penalty other than Fines |
| Date Initiated: | 04/25/1995 |
| Docket/Case Number: | C9A950025 |
| Employing firm when activity occurred which led to the regulatory action: | PRUDENTIAL INSURANCE COMPANY OF AMERICA |
| Product Type: | No Product |
| Allegations: | NASD ALLEGED VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT BOYER OBTAINED FUNDS BY MISREPRESENTATION IN THAT HE SUBMITTED TO HIS MEMBER FIRM FOR REIMBURSEMENT COPIES OF CHECKS WHICH HE HAD WRITTEN BUT WHICH HE HAD NOT ACTUALLY TRANSMITTED TO THE PAYEES APPEARING ON THE CHECKS; AND FAILED TO RESPOND TO NASD REQUESTS TO PROVIDE COPIES OF CERTAIN SPECIFIED BANK ACCOUNT STATEMENTS MADE PURSUANT TO ARTICLE IV, SECTION 5 OF THE RULES OF FAIR PRACTICE. |
| Current Status: | Final |
| Resolution: | Acceptance, Waiver & Consent(AWC) |



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:

09/08/1995

Sanctions Ordered:

Bar (Permanent)
Cease and Desist
Monetary Penalty other than Fines

Sanction 1 of 1

Sanction Type:

Bar (Permanent)

Capacities Affected:

ALL CAPACITIES

Duration:

Start Date:

09/08/1995

End Date:

Monetary Sanction 1 of 1

Monetary Related Sanction:

Monetary Penalty other than Fines

Total Amount:

\$75,000.00

Portion Levied against individual:

\$75,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived?

No

Amount Waived:

Broker Statement

THE NASD BARRED AND FINED MR. BOYER \$75,000.00 BECAUSE HE DECIDED NOT TO ATTEND A HEARING ON PRUDENTIAL'S THEFT ACCUSATION. AFTER THE CASE WAS SETTLED IN COURT WITH PRUDENTIAL, THERE WERE SEVERAL INQUIRES BETWEEN THE NASD AND MR. BOYER'S ATTORNEYS. MR. BOYER WAS INFORMED BY THE NASD THAT HE WOULD HAVE TO PAY THE \$75,000.00 WHETHER OR NOT THE NASD GRANTED HIM WITH THE ABILITY TO RE-ASSOCIATE WITH A BROKER-DEALER. MR. BOYER DECIDED NOT TO PAY THE \$75,000 BECAUSE THERE WAS NO GUARANTEE OF HE WOULD BE ABLE TO RE-ASSOCIATE WITH A BROKER-DEALER AND HE DID NOT WANT TO PAY FOR SOMETHING HE DID NOT DO.

Disclosure 2 of 2

Reporting Source:

Regulator

Regulatory Action Initiated By:

PENNSYLVANIA CONTACT: COUNSEL STEFANIE Z. HAMILTON (215)-560-2088

Sanction(s) Sought:

Other

Other Sanction(s) Sought:

STEVEN BOYER PAID A \$10,000.00 ADMINISTRATIVE ASSESSMENT AND



\$1,500.00 IN INVESTIGATIVE AND LEGAL COSTS.

Date Initiated: 05/17/2006

Docket/Case Number: 2006-04-12

Employing firm when activity occurred which led to the regulatory action:

Product Type: Other

Other Product Type(s): INTERESTS

Allegations: STEVEN BOYER VIOLATED THE REGISTRATION PROVISIONS OF THE PA SECURITIES ACT OF 1972.

Current Status: Final

Resolution: Settled

Resolution Date: 05/17/2006

Sanctions Ordered: Monetary/Fine \$11,500.00

Other Sanctions Ordered:

Sanction Details: STEVEN BOYER PAID A \$10,000.00 ADMINISTRATIVE ASSESSMENT AND \$1,500.00 IN INVESTIGATIVE AND LEGAL COSTS.

Regulator Statement FINDINGS OF FACT, CONCLUSIONS OF LAW AND ORDER ISSUED TO STEVEN BOYER.

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF PENNSYLVANIA

Sanction(s) Sought: Other: STEVEN BOYER PAID A \$10,000 ADMINISTRATIVE ASSESSMENT AND \$1,500 IN INVESTIGATIVE AND LEGAL COSTS.

Date Initiated: 05/17/2006

Docket/Case Number: 2006-04-12

Employing firm when activity occurred which led to the regulatory action: PRUDENTIAL INSURANCE COMPANY OF AMERICA

Product Type: Other: INTERESTS

Allegations: STEVEN BOYER VIOLATED THE REGISTRATION PROVISIONS OF THE PA SECURITIES ACT OF 1972.

Current Status: Final

Resolution: Settled

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: 05/17/2006



Sanctions Ordered: Monetary Penalty other than Fines

Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$11,500.00

Portion Levied against individual: \$11,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

STEVEN BOYER PAID A \$10,000 ADMINISTRATIVE ASSESSMENT AND \$1,500 IN INVESTIGATIVE AND LEGAL COSTS. FINDINGS OF FACT, CONCLUSIONS OF LAW AN ORDER ISSUED TO STEVEN BOYER.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

| | |
|--------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Reporting Source: | Individual |
| Firm Name: | PRUDENTIAL INSURANCE COMPANY OF AMERICA |
| Termination Type: | Permitted to Resign |
| Termination Date: | 08/05/1993 |
| Allegations: | MISAPPROPRIATION OF COMPANY FUNDS |
| Product Type: | No Product |
| Broker Statement | PRUDENTIAL HAD A MARKETING SUPPORT PROGRAM THAT WERE BONUSES THAT MR. BOYER EARNED IN ADDITION TO W2 INCOME. WHEN MR. BOYER LEFT PRUDENTIAL, THE FIRM TOLD HIM TO KEEP HIS MARKETING SUPPORT PROGRAM MONEY. HE WAS ADVISED BY HIS ATTORNEY THAT HE SHOULD OFFER IT BACK. AFTER MR. BOYER OFFERED TO RETURN THE MARKETING SUPPORT MONEY, PRUDENTIAL FILED THEFT CHARGES AGAIN HIM. MR. BOYER DENIED THE ALLEGATIONS AND PRUDENTIAL WOULD NOT ACCEPT THE MONEY BACK. |



End of Report

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