



IAPD Report

Trenton James Grens

CRD# 2460818

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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

Trenton James Grens (CRD# 2460818)

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 **04/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BROOKSTONE CAPITAL MANAGEMENT LLC	CRD# 141413	04/07/2026

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	ASSETMARK, INC.	109018	Chicago, IL	06/21/2022 - 09/25/2024
B	ASSETMARK BROKERAGE, LLC	169804	Chicago, IL	06/17/2022 - 09/25/2024
IA	ASTOR INVESTMENT MANAGEMENT LLC	169679	CHICAGO, IL	10/13/2015 - 02/16/2021

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
Criminal	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **BROOKSTONE CAPITAL MANAGEMENT LLC**

Main Address: 1745 S. NAPERVILLE ROAD
SUITE 200
WHEATON, IL 60189

Firm ID#: 141413

	Regulator	Registration	Status	Date
	Illinois	Investment Adviser Representative	Approved	04/07/2026

Branch Office Locations

BROOKSTONE CAPITAL MANAGEMENT LLC

1745 S. NAPERVILLE ROAD
SUITE 200
WHEATON, IL 60189



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, 4 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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/31/2014
B National Commodity Futures Examination (S3)	Series 3	06/28/2010
B General Securities Representative Examination (S7)	Series 7	03/30/1994

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/13/2015
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/03/2014



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	06/21/2022 - 09/25/2024	ASSETMARK, INC.	CRD# 109018	Chicago, IL
B	06/17/2022 - 09/25/2024	ASSETMARK BROKERAGE, LLC	CRD# 169804	Chicago, IL
IA	10/13/2015 - 02/16/2021	ASTOR INVESTMENT MANAGEMENT LLC	CRD# 169679	CHICAGO, IL
B	11/18/2016 - 02/08/2021	NORTHERN LIGHTS DISTRIBUTORS, LLC	CRD# 126159	ELKHORN, NE
B	06/02/2014 - 06/12/2015	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	ARLINGTON HEIGHTS,
B	12/01/2005 - 04/07/2006	CCO INVESTMENT SERVICES CORP.	CRD# 39550	CHICAGO, IL
B	04/19/2005 - 12/01/2005	CHARTER ONE SECURITIES, INC.	CRD# 13373	CLEVELAND, OH
IA	10/30/2000 - 03/09/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	EVANSTON, IL
B	02/01/1999 - 03/09/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL
B	02/20/1997 - 02/01/1999	FIRST CHICAGO NBD INVESTMENT SERVICES, INC.	CRD# 17516	CHICAGO, IL
B	03/10/1995 - 12/04/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	04/29/1994 - 06/13/1994	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI

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
09/2025 - Present	Brookstone Capital Management	Business Development	Y	Wheaton, IL, United States
09/2024 - 09/2025	Unemployed	Networking	N	Glen Ellyn, IL, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2022 - 09/2024	AssetMark Brokerage, LLC	Engagement Consultant	Y	Chicago, IL, United States
04/2022 - 09/2024	AssetMark Financial Holdings, Inc.	Engagement Consultant	Y	Chicago, IL, United States
02/2021 - 04/2022	Unemployed	Networking	N	Glen Ellyn, IL, United States
11/2016 - 02/2021	NORTHERN LIGHTS DISTRIBUTORS, LLC	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, United States
07/2015 - 02/2021	ASTOR INVESTMENT MANAGEMENT LLC	INTERNAL WHOLESALER	Y	CHICAGO, IL, 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.

ASSETMARK FINANCIAL HOLDINGS, INC. (PARENT COMPANY) - IN CONCORD, CA - INVESTMENT RELATED - EMPLOYMENT START DATE 04/2022 - 160 HRS / MONTHLY, ENGAGEMENT CONSULTANT OF ASSETMARK, INC. - A REGISTERED INVESTMENT ADVISER - IN CONCORD CA - AFFILIATE OF ASSETMARK BROKERAGE, LLC. - 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
Criminal	2
Termination	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source: Individual

If charge(s) were brought against an organization over which individual exercised control:

Organization Name:

Investment Related Business: No

Position:

Formal Charges were brought in: State Court

Name of Court: STATE OF ILLINOIS

Location of Court: CIRCUIT COURT OF COOK COUNTY, ILLINOIS

Docket/Case #: 06CR0166901

Charge Date: 01/23/2006

Charge(s) 1 of 1

Formal Charge(s)/Description: AGGRAVATED BATRY/OFFICER/EMP/GOVT

No of Counts: 2

Felony or Misdemeanor: Felony

Plea for each charge: NOT GUILTY

Disposition of charge: Dismissed

Current Status: Final



Status Date: 03/29/2007
Disposition Date: 03/29/2007
Sentence/Penalty: CHARGE DISMISSED

Disclosure 2 of 2

Reporting Source: Individual
Court Details: CLERK OF COURTS - LEE COUNTY FLORIDA
BOOKING #043934
Charge Date: 03/17/1990
Charge Details: UNDERAGED DRINKING 1 COUNT, AND FALSE IDENTIFICATION 1 COUNT.
BOTH WERE MISDEMEANOR CHARGES, PLED GUILTY FOR BOTH
CHARGES.
Felony? No
Current Status: Final
Status Date: 03/18/1990
Disposition Details: I DAY TIME SERVED AND \$80.00 FINE AND DRIVER'S
LICENSE SUSPENDED FOR 1 YEAR.
Broker Statement SPRING BREAK 1990 FORT MEYERS: WHILE ON SPRING
BREAK 1990, I WAS CONVICTED OF MISDEMEANOR OF UNDERAGED
DRINKING AND FALSE IDENTIFICATION AS WELL AS RESISTING ARREST.
AT THE TIME OF THE INCIDENT I WAS 19 YEARS OLD. I SERVED 1 DAY
IN JAIL AND PAID \$80.00 AND HAD MY DRIVERS LICENSE SUSPENDED
FOR ONE YEAR. I DO HAVE COPIES OF THE COURT RECORDS AND WILL
ANSWER ANY FURTHER QUESTIONS THAT YOU MAY HAVE.



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:	OLDE DISCOUNT CORPORATION
Termination Type:	Discharged
Termination Date:	06/02/1994
Allegations:	N/A I WAS DISCHARGED FOR MISREPRESENTATION OF BACKGROUND REGARDING MISDEMEANOR ARREST IN 1990.
Product Type:	No Product
Other Product Types:	
Broker Statement	TERMINATION. I WAS TERMINATED DUE TO MISREPRESENTATION OF BACKGROUND BY FAILING TO DISCLOSE INFORMATION REGARDING A MISDEMEANOR ARREST ON 3/17/90. I BELIEVED AT THE TIME THAT I HAD NO RECORD. I WAS CONVICTED OF UNDERAGE DRINKING AND FALSE IDENTIFICATION AS WELL AS RESISTING ARREST. AT THE TIME OF THE INCIDENT I WAS 19 YEARS OLD. I SERVED IN JAIL AND PAID AN \$80.00 FINE AND HAD MY DRIVERS LICENSE FOR ONE YEAR.



End of Report

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