



IAPD Report

Daniel Harutunian

CRD# 2481103

<u>Section Title</u>	<u>Page(s)</u>
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

Daniel Harutunian (CRD# 2481103)

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 **12/19/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA BROOKSTONE WEALTH ADVISORS, LLC	CRD# 137658	12/19/2025

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
B NPB FINANCIAL GROUP, LLC	137743	BURBANK, CA	02/27/2008 - 02/05/2015
B AIG FINANCIAL ADVISORS, INC.	133763	VALEY VILLAGE, CA	10/31/2005 - 04/18/2008
B SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ	01/10/2005 - 10/31/2005

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
 California	Investment Adviser Representative	Approved	12/19/2025

Branch Office Locations

BROOKSTONE WEALTH ADVISORS, LLC
25101 The old Road #125
Stevenson Ranch, CA 91381



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	06/22/2005

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7TO)	Series 7TO	05/22/2020
Securities Industry Essentials Examination (SIE)	SIE	05/22/2020
General Securities Representative Examination (S7)	Series 7	03/07/1996
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/26/1994

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	06/02/1994

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	02/27/2008 - 02/05/2015	NPB FINANCIAL GROUP, LLC	CRD# 137743	BURBANK, CA
B	10/31/2005 - 04/18/2008	AIG FINANCIAL ADVISORS, INC.	CRD# 133763	VALEY VILLAGE, CA
B	01/10/2005 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	01/01/1999 - 01/10/2005	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA
B	03/03/1998 - 01/01/1999	GRIFFIN FINANCIAL SERVICES	CRD# 10823	
B	04/25/1997 - 03/07/1998	FIMCO SECURITIES GROUP, INC.	CRD# 30343	PORT WASHINGTON, WA
B	12/06/1996 - 04/17/1997	WELLS FARGO SECURITIES INC.	CRD# 17438	SAN FRANCISCO, CA
B	05/27/1994 - 12/05/1996	GREAT WESTERN FINANCIAL SECURITIES CORPORATION	CRD# 14229	NORTHRIDGE, 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
12/2025 - Present	Brookstone Wealth Management LLC	Investment Advisor Representative	Y	Wheaton, IL, United States
02/2018 - Present	self	Annuity and Life Insurance Rep	N	Santa Clarita, CA, United States
02/2015 - 09/2022	self	Commercial Property Management	N	Valencia, CA, United States
05/2020 - 05/2020	Western International Securities, Inc.	Registered Representative	Y	Pasadena, CA, United States
04/2019 - 11/2019	BDFS/Bain	Sales	N	Torrance, CA, United States



Registration & Employment History

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) Valley Income and Insurance Services

A single Member LLC for:

Life Insurance and Annuity Sales

Name of Business : Self

Investment Related: No

Address: 25101 The Old Road Stevenson Ranch CA 91381

Position: Annuity and Life Insurance Sales Representative

Title: Self Employed Sole Proprietorship

Start 02/18/2018

Currently 20 hours a month

Currently Devote 20 hours a month during trading hours

Engage with clients regarding fixed indexed and fixed rate annuity needs

2) Cafe Mike Inc.

27873 Cherry Creek Dr

Santa Clarita CA 91354

Non investment related

A dormant California C corporation engaged in property management until 2022

Position: President

Began 1/2004 until 11/2024

0 hours per month/0 hours during market hours

Duties now: In process of dissolving



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: FINRA

Sanction(s) Sought:

Date Initiated: 09/28/2015

Docket/Case Number: [2013039647901](#)

Employing firm when activity occurred which led to the regulatory action: NPB Financial Group, LLC

Product Type: No Product

Allegations: Without admitting or denying the findings, Harutunian consented to the sanctions and to the entry of findings that he failed to timely amend his Form U4 to disclose Internal Revenue Service tax liens filed against him and he filed a misleading Form U4, in which he answered "no" to the question: "Do you have any unsatisfied judgments or liens against you?" even though a tax lien had not been satisfied. Later, after FINRA inquired about the liens, he amended his Form U4 to disclose for the first time that he was the subject of an Internal Revenue Service tax lien, but only disclosed one of the two unsatisfied liens and also inaccurately stated the amount owed to the Internal Revenue Service. The findings stated that Harutunian willfully violated Article V, Section 2(c) of FINRA's By-Laws and FINRA rules by failing to timely amend Form U4 to disclose the Internal Revenue Service tax liens and filing misleading and inaccurate Forms U4. The findings also stated that Harutunian engaged in an outside business activity without providing prior written notice to his member firm. Specifically, Harutunian was actively involved in the outside business and was compensated by the business for his services. Harutunian, however, failed to provide timely notice to his firm and also failed disclose these activities when the firm specifically asked him to describe his



outside business activities during a branch office review. Later, in response to a FINRA inquiry, Harutunian disclosed his activities in the outside business activity to his firm for the first time.

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:

09/28/2015

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Other: Respondent understands that this settlement includes a finding that he willfully omitted to state material facts on a Form U4, and that under Section 3(a)(39)(F) of the Securities Exchange Act of 1934 and Article III, Section 4 of FINRA's By-Laws, this omission makes Respondent subject to a statutory disqualification with respect to association with a member.

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: any capacity
Duration: Five months
Start Date: 10/05/2015
End Date: 03/04/2016

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$10,000.00
Portion Levied against individual: \$10,000.00
Payment Plan: deferred
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No

**Amount Waived:**
.....**Reporting Source:** Individual**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:****Date Initiated:** 09/28/2015**Docket/Case Number:** [2013039647901](#)**Employing firm when activity occurred which led to the regulatory action:** NPB Financial Group, LLC**Product Type:** No Product

Allegations: Without admitting or denying the findings, Harutunian consented to the sanctions and to the entry of findings that he failed to timely amend his Form U4 to disclose Internal Revenue Service tax liens filed against him and he filed a misleading Form U4, in which he answered "no" to the question: "Do you have any unsatisfied judgments or liens against you?" even though a tax lien had not been satisfied. Later, after FINRA inquired about the liens, he amended his Form U4 to disclose for the first time that he was the subject of an Internal Revenue Service tax lien, but only disclosed one of the two unsatisfied liens and also inaccurately stated the amount owed to the Internal Revenue Service. The findings stated that Harutunian willfully violated Article V, Section 2(c) of FINRA's By-Laws and FINRA rules by failing to timely amend Form U4 to disclose the Internal Revenue Service tax liens and filing misleading and inaccurate Forms U4. The findings also stated that Harutunian engaged in an outside business activity without providing prior written notice to his member firm. Specifically, Harutunian was actively involved in the outside business and was compensated by the business for his services. Harutunian, however, failed to provide timely notice to his firm and also failed to disclose these activities when the firm specifically asked him to describe his outside business activities during a branch office review. Later, in response to a FINRA inquiry, Harutunian disclosed his activities in the outside business activity to his firm for the first time.

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:** 09/28/2015**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)
Suspension**Sanction 1 of 1****Sanction Type:** Suspension**Capacities Affected:** Any Capacity**Duration:** Five Months



Start Date:	10/05/2015
End Date:	03/04/2016
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	Deferred
Is Payment Plan Current:	No
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

This page is intentionally left blank.