



IAPD Report

THOMAS RUDOLPH FORTINO

CRD# 2579139

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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

THOMAS RUDOLPH FORTINO (CRD# 2579139)

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 **11/01/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BROOKSTONE WEALTH ADVISORS, LLC	CRD# 137658	03/17/2014

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	ALPHA WEALTH GROUP	155139	OAKBROOK TERRACE, IL	09/28/2010 - 12/31/2012
IA	KEN STERN & ASSOCIATES INC	110092	OAKBROOK TERRACE, IL	06/15/2006 - 11/16/2011
B	FIRST ALLIED SECURITIES, INC.	32444	OAK BROOK, IL	12/16/2005 - 08/06/2010

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	3
Customer Dispute	1
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
	Illinois	Investment Adviser Representative	Approved	03/17/2014
	Michigan	Investment Adviser Representative	Approved	10/25/2021

Branch Office Locations

BROOKSTONE WEALTH ADVISORS, LLC

2001 Butterfield Road Suite 501
Downers Grove, IL 60515



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	10/18/2005

General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7)	Series 7	02/09/1999
	Direct Participation Programs Representative Examination (S22)	Series 22	07/31/1996
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/30/1995

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/07/2006
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/1995

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	09/28/2010 - 12/31/2012	ALPHA WEALTH GROUP	CRD# 155139	OAKBROOK TERRACE,
IA	06/15/2006 - 11/16/2011	KEN STERN & ASSOCIATES INC	CRD# 110092	OAKBROOK TERRACE,
B	12/16/2005 - 08/06/2010	FIRST ALLIED SECURITIES, INC.	CRD# 32444	OAK BROOK, IL
B	02/13/2004 - 12/16/2005	INVESTORS CAPITAL CORP.	CRD# 30613	LYNNFIELD, MA
B	01/02/2002 - 02/19/2004	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA
B	07/23/1999 - 12/31/2001	ASSET PLANNING SOLUTIONS, INC.	CRD# 46091	SAN DIEGO, CA
B	04/16/1998 - 10/06/1999	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA
B	09/19/1997 - 03/27/1998	THE O.N. EQUITY SALES COMPANY	CRD# 2936	CINCINNATI, OH
B	01/31/1995 - 09/04/1997	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	01/31/1995 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA

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
10/2017 - Present	Illinois Retirement Institute, LLC	Owner	N	Oakbrook Terrace, IL, United States
02/2014 - Present	ALPHA WEALTH GROUP	EXECUTIVE OFFICER, INSURANCE SALES, INVESTMENT ADVISER REPRESENTATIVE	Y	OAKBROOK TERRACE, IL, United States
02/2014 - Present	RETIREMENT WEALTH ADVISORS, INC	IAR	Y	JENISON, MI, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2013 - Present	THE BJF PROPERTIES LLC	PARTNER/PAPERWORK/RENTAL INCOME	Y	GLEN ELLYN, 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.

1) 08/2012 - PRESENT, ALPHA WEALTH GROUP, 1815 S. MEYERS RD. OAKBROOK TERRACE, IL 60181, EXECUTIVE OFFICER, INSURANCE SALES, FIX ANNUITIES HOURS DEDICATED: 20-30/WEEK (20-30/WEEK DURING TRADING HOURS)

2) 01/2014 - PRESENT, BJF PROPERTIES LLC, GLEN ELLYN, ILLINOIS, OWNS ONE COMMERCIAL AND ONE RESIDENTIAL PROPERTY. NEITHER MANAGE NOR OVERSEE/TAXES & PAPERWORK HELP. HOURS DEDICATED: 0-1/WEEK (0-1/WEEK DURING TRADING HOURS)

3) 10/2017 - Present, Illinois Retirement Institute, LLC, not investment related 1815 S. MEYERS RD. OAKBROOK TERRACE, IL 60181, educational retirement workshops, 20 hrs/mo 6 hrs/mo during trading; conducting classes presenting information on taxes, market risk, estate planning and asset protection for pre-retirees and retirees



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	3
Customer Dispute	1
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 3

Reporting Source:	Individual
Regulatory Action Initiated By:	State of Illinois Department of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/23/2013
Docket/Case Number:	In re. Thomas Fortino
Employing firm when activity occurred which led to the regulatory action:	Alpha Wealth Group
Product Type:	Annuity-Fixed
Allegations:	Mr. Fortino allowed an unlicensed employee to solicit an annuity product to a client via email and Mr. Fortino did not properly register Alpha Wealth Group as an insurance company pursuant to Illinois law.
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:	05/27/2016



Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Other: Paid \$2000 in fines, ordered to register Alpha Wealth Group with the Illinois Department of Insurance

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$2,000.00

Portion Levied against individual: \$2,000.00

Payment Plan: Paid in Full

Is Payment Plan Current: Yes

Date Paid by individual: 05/27/2016

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought: Prohibition
Revocation

Date Initiated: 08/21/2012

Docket/Case Number: 1200278

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action: ALPHA WEALTH GROUP (CRD# 155139)

Product Type: Insurance
Other: EQUITY INDEXED ANNUITIES

Allegations: THE ILLINOIS SECURITIES DEPARTMENT ISSUED AN ORDER OF SUSPENSION AND SUMMARY ORDER OF PROHIBITION AGAINST THOMAS RUDOLPH FORTINO ON AUGUST 21, 2012. IN THE ORDER OF SUSPENSION, THE SECURITIES DEPARTMENT ALLEGES THAT FORTINO'S REGISTRATIONS AS AN INVESTMENT ADVISER AND INVESTMENT ADVISER REPRESENTATIVE ARE SUBJECT TO SUSPENSION OR REVOCATION PURSUANT TO SECTION 8.E(1)(J) OF THE SECURITIES ACT. THE SUMMARY ORDER OF PROHIBITION ORDERED THAT FORTINO BE PROHIBITED FROM OFFERING OR SELLING SECURITIES IN THE STATE OF ILLINOIS PURSUANT TO SECTION 11.F(7) OF THE SECURITIES ACT. BOTH OF THESE ORDERS WERE BASED ON A FINRA ACTION THAT SUSPENDED FORTINO FROM ASSOCIATING WITH ANY FINRA MEMBER IN ANY AND ALL CAPACITIES FOR A PERIOD OF TEN (10) MONTHS.

Current Status: Final

Resolution: Stipulation and Consent



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:	01/09/2013
Sanctions Ordered:	Monetary Penalty other than Fines Suspension Other: FORTINO IS NOT TO APPLY TO BE A PRINCIPAL OF A BROKER-DEALER OR INVESTMENT ADVISER FOR A PERIOD OF FIVE (5) YEARS FROM THE DAY THE CONSENT ORDER WAS ISSUED(1/29/2013). ADDITIONALLY,IF FORTINO BECOMES REGISTERED WITH A BROKER-DEALER OR INVESTMENT ADVISER, HE SHALL UNDERGO A PERIOD OF HEIGHTENED SUPERVISION.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	SECURITIES SALESPERSON, INVESTMENT ADVISER, INVESTMENT ADVISER REPRESENTATIVE
Duration:	5 MONTHS AND 13 DAYS
Start Date:	08/21/2012
End Date:	02/03/2013
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$20,000.00
Portion Levied against individual:	\$20,000.00
Payment Plan:	: PAYMENT MUST BE MADE BY JULY 29, 2013
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	FOR MORE INFORMATION, CONTACT ENFORCEMENT ATTORNEY JAMES GLEFFE AT (312) 793-3593.
Reporting Source:	Individual
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Prohibition Revocation
Date Initiated:	08/21/2012
Docket/Case Number:	1200278
Employing firm when activity	ALPHA WEALTH GROUP (CRD# 155139)



occurred which led to the regulatory action:

Product Type:	Annuity-Fixed Insurance
Allegations:	THAT FORTINO'S REGISTRATIONS AS AN INVESTMENT ADVISER AND INVESTMENT ADVISOR REPRESENTATIVE ARE SUBJECT TO SUSPENSION OR REVOCATION PURSUANT TO SECTION 8.E(1)(J) OF THE SECURITIES ACT.
Current Status:	Final
Resolution:	Stipulation and Consent
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:	01/09/2013
Sanctions Ordered:	Monetary Penalty other than Fines Suspension Other: FORTINO IS NOT TO APPLY TO BE A PRINCIPAL OF A BROKER-DEALER OR INVESTMENT ADVISOR FOR A PERIOD OF 5 YEARS FROM 1/29/2013. ADDITIONALLY. IF FORTINO BECOMES REGISTERED WITH A BROKER-DEALER OR INVESTMENT ADVISOR, HE SHALL UNDERGO A PERIOD OF HEIGHTENED SUPERVISION.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	SECURITIES SALESPERSON, INVESTMENT ADVISOR, INVESTMENT ADVISOR REPRESENTATIVE
Duration:	5 MONTH AND 13 DAYS
Start Date:	08/21/2012
End Date:	02/03/2013
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$20,000.00
Portion Levied against individual:	\$20,000.00
Payment Plan:	PAYMENT MUST BE MADE BY 07/29/1913
Is Payment Plan Current:	
Date Paid by individual:	07/29/1913
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 3 of 3



Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	04/03/2012
Docket/Case Number:	2010024035801
Employing firm when activity occurred which led to the regulatory action:	FIRST ALLIED SECURITIES, INC.,
Product Type:	Other: EQUITY INDEXED ANNUITIES (EIAS) AND CERTAIN WHOLE LIFE INSURANCE
Allegations:	FINRA RULE 2010 AND NASD RULES 2110, 3030: FORTINO FAILED TO PROVIDE WRITTEN NOTICE TO HIS MEMBER FIRM OF HIS OUTSIDE BUSINESS ACTIVITIES OR FOLLOW OTHER RELATED PROCEDURES. FORTINO FAILED TO NOTIFY HIS FIRM THAT HE WAS ENGAGED IN OUTSIDE EQUITY INDEXED ANNUITIES (EIA) AND CERTAIN WHOLE LIFE INSURANCE SALES. THE FIRM'S POLICIES PROHIBITED OUTSIDE EIA SALES AND REQUIRED REGISTERED REPRESENTATIVES TO OBTAIN AUTHORIZATION PRIOR TO ENGAGING IN ANY OUTSIDE INSURANCE SALES. DURING THE RELEVANT PERIOD FORTINO EARNED \$334,764.93 FROM TRANSACTIONS BETWEEN 2007 AND THE END OF JULY 2010. AT LEAST \$68,843 OF THIS AMOUNT WAS ATTRIBUTABLE TO EIA SALES. FORTINO MADE UNAPPROVED OUTSIDE SALES OF INSURANCE AND EIAS TO AT LEAST 16 INDIVIDUALS, HALF OF WHOM PURCHASED WHOLE LIFE INSURANCE WHILE THE OTHER HALF PURCHASED EIAS. THREE OF THESE INDIVIDUALS WERE HIS FIRM'S CUSTOMERS. TWO OF THE FIRM'S CUSTOMERS PURCHASED WHOLE LIFE INSURANCE AND ONE CUSTOMER PURCHASED AN EIA. BETWEEN JANUARY 1, 2007, AND JULY 30, 2010, FORTINO DID NOT AT ANY TIME NOTIFY HIS FIRM OF HIS EIA OR CERTAIN OF HIS WHOLE LIFE INSURANCE SALES ACTIVITIES. IN MAKING THESE SALES FORTINO IGNORED THE FIRM'S EXPLICIT AND REPEATED COMPLIANCE PRONOUNCEMENTS CONCERNING OUTSIDE INSURANCE AND EIA SALES. IN APRIL 2009, FORTINO'S SUPERVISOR BECAME AWARE THAT HE HAD MADE AN UNAPPROVED EIA SALE TO AN INDIVIDUAL WHO WAS NOT A FIRM CUSTOMER. THE SUPERVISOR ISSUED FORTINO A LETTER OF CAUTION WARNING HIM TO STOP ANY FUTURE UNAPPROVED SALES AND REMINDING HIM THAT ALL SALES OF EIAS HAD TO BE SUBMITTED TO THE SUPERVISOR FOR REVIEW AND APPROVAL. HOWEVER, FORTINO IGNORED THIS DIRECTIVE AND MADE AT LEAST THREE SUBSEQUENT EIA SALES, AFTER HE RECEIVED THE LETTER OF CAUTION, WITHOUT THE FIRM'S APPROVAL. THE FIRM REQUIRED ITS REPRESENTATIVES TO USE AN OUTSIDE BUSINESS ACTIVITIES QUESTIONNAIRE BEFORE ENGAGING IN ANY OUTSIDE BUSINESS. FORTINO SUBMITTED AN OUTSIDE BUSINESS ACTIVITIES QUESTIONNAIRE IN OCTOBER 2006, IDENTIFYING TWO OUTSIDE ACTIVITIES UNRELATED TO THE OUTSIDE INSURANCE AND EIA SALES AT ISSUE. FORTINO DID NOT SUBMIT AN OUTSIDE BUSINESS ACTIVITIES QUESTIONNAIRE BETWEEN 2007 AND 2009, A PERIOD DURING WHICH HE WAS ACTIVELY INVOLVED IN MAKING INSURANCE AND EIA SALES AWAY FROM THE FIRM. IN APRIL 2010, FORTINO SUBMITTED A NEW OUTSIDE BUSINESS ACTIVITIES QUESTIONNAIRE IN WHICH HE REPORTED SELLING INSURANCE THROUGH A COMPANY THAT WAS OWNED BY HIS SUPERVISOR AND NOT AFFILIATED WITH HIS FIRM. NONE OF THE SALES AT ISSUE OCCURRED THROUGH THIS COMPANY. IN DOCUMENTATION SUBMITTED WITH THE APRIL 2010



OUTSIDE BUSINESS ACTIVITIES QUESTIONNAIRE, FORTINO MISLED HIS FIRM BY REPORTING THAT HE DID NOT EARN COMPENSATION FROM INSURANCE-RELATED PRODUCTS OUTSIDE OF HIS FIRM. IN FACT, HOWEVER, FORTINO DID EARN COMPENSATION FROM OUTSIDE INSURANCE SALES THAT WERE NOT REPORTED TO THE FIRM DURING THE BEGINNING OF 2010 AND UP UNTIL HE WAS PERMITTED TO RESIGN ON JULY 30, 2010.

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: 04/03/2012

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

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 AND ALL CAPACITIES
Duration:	10 MONTHS
Start Date:	04/16/2012
End Date:	02/15/2013

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:	
Was any portion of penalty waived?	No



Amount Waived:

Regulator Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, FORTINO CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$15,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY AND ALL CAPACITIES FOR 10 MONTHS. THE FINE IS DUE AND PAYABLE PURSUANT TO THE FINRA INSTALLMENT PAYMENT PLAN AS IT MAY BE IN EFFECT AT SUCH TIME AS PAYMENT IS DUE EITHER IMMEDIATELY UPON RE-ASSOCIATION WITH A MEMBER FIRM FOLLOWING HIS SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM APRIL 16, 2012, THROUGH FEBRUARY 15, 2013.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	First Allied Securities, INc.
Allegations:	Claimant alleges that, in May 2010, misrepresentations were made in connection with his purchase of a life settlement transaction. Claimant alleges the transaction was inconsistent with his investment objectives and that certain disclosures were not made. Claimant alleges violation of the Illinois Consumer Fraud and Deceptive Practices Act, breach of contract, fraud, breach of fiduciary duty, and negligence,
Product Type:	Viatical Settlement
Alleged Damages:	\$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-02519
Filing date of arbitration/CFTC reparation or civil litigation:	09/21/2015

Customer Complaint Information

Date Complaint Received:	12/01/2015
Complaint Pending?	No
Status:	Settled
Status Date:	06/10/2016
Settlement Amount:	\$65,000.00
Individual Contribution Amount:	\$0.00



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:	ALPHA WEALTH GROUP (CRD #155139)
Termination Type:	Discharged
Termination Date:	08/21/2012
Allegations:	THAT FORTINO'S REGISTRATIONS AS AN INVESTMENT ADVISER AND INVESTMENT ADVISOR REPRESENTATIVE ARE SUBJECT TO SUSPENSION OR REVOCATION PURSUANT TO SECTION 8.E(1)(J) OF THE SECURITIES ACT.
Product Type:	Annuity-Fixed Insurance



End of Report

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