IAPD Report

BRENT ALAN NELSON

CRD# 3026585

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

BRENT ALAN NELSON (CRD# 3026585)

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
B	STONEX SECURITIES INC.	CRD# 18456	09/12/2014
IA	STONEX ADVISORS INC.	CRD# 174182	01/30/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	7365	YOUNGSTOWN, OH	06/14/2001 - 01/30/2015
B	WRP INVESTMENTS, INC.	7365	YOUNGSTOWN, OH	04/20/2001 - 09/12/2014
B	IAR SECURITIES CORP.	5155	NEW YORK, NY	01/27/2000 - 05/15/2001

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
Investigation	1
Customer Dispute	2
Termination	2

Report Summary

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

Employment 1 of 2

Firm Name: **STONEX SECURITIES INC.**

Main Address: 2 PERIMETER PARK SOUTH
SUITE 500 WEST
BIRMINGHAM, AL 35243

Firm ID#: 18456

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/12/2014
B	FINRA	General Securities Representative	Approved	09/12/2014
B	Arizona	Agent	Approved	09/12/2014
B	Arkansas	Agent	Approved	06/26/2018
B	California	Agent	Approved	12/15/2014
B	Connecticut	Agent	Approved	09/12/2014
B	Delaware	Agent	Approved	09/12/2014
B	Florida	Agent	Approved	09/12/2014
B	Georgia	Agent	Approved	05/22/2024
B	Idaho	Agent	Approved	03/03/2017
B	Indiana	Agent	Approved	09/08/2016
B	Kentucky	Agent	Approved	09/12/2014
B	Michigan	Agent	Approved	09/12/2014

Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	08/12/2019
B	Montana	Agent	Approved	04/13/2017
B	New Jersey	Agent	Approved	01/27/2017
B	New York	Agent	Approved	03/14/2018
B	North Carolina	Agent	Approved	03/14/2017
B	Ohio	Agent	Approved	09/12/2014
B	Pennsylvania	Agent	Approved	11/23/2015
B	Rhode Island	Agent	Approved	07/23/2019
B	South Carolina	Agent	Approved	09/12/2014
B	Texas	Agent	Approved	09/12/2014
B	Virginia	Agent	Approved	09/12/2014
B	Washington	Agent	Approved	05/12/2015
B	West Virginia	Agent	Approved	09/12/2014

Branch Office Locations

4800 Belmont Avenue
Suite C
Youngstown, OH 44505

Employment 2 of 2

Firm Name:	**STONEX ADVISORS INC.**
Main Address:	2 PERIMETER PARK SOUTH SUITE 500 WEST BIRMINGHAM, AL 35243
Firm ID#:	174182

Qualifications

	Regulator	Registration	Status	Date
IA	Ohio	Investment Adviser Representative	Approved	01/30/2015
IA	Texas	Investment Adviser Representative	Restricted Approval	01/30/2015

Branch Office Locations

STONEX ADVISORS INC.
4800 Belmont Ave
Suite C
Youngstown, OH 44505

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	09/13/1999

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/23/1998

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/25/1998

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	06/14/2001 - 01/30/2015	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	CRD# 7365	YOUNGSTOWN, OH
B	04/20/2001 - 09/12/2014	WRP INVESTMENTS, INC.	CRD# 7365	YOUNGSTOWN, OH
B	01/27/2000 - 05/15/2001	IAR SECURITIES CORP.	CRD# 5155	NEW YORK, NY
B	07/20/1999 - 02/04/2000	AC FINANCIAL, INC.	CRD# 21616	PALM HARBOR, FL
B	04/02/1998 - 06/28/1999	FAIRCHILD FINANCIAL GROUP, INC.	CRD# 21404	NEW YORK, NY

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
01/2015 - Present	STONEX ADVISORS INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	YOUNGSTOWN, OH, United States
09/2014 - Present	STONEX SECURITIES INC	REGISTERED REPRESENTATIVE	Y	YOUNGSTOWN, OH, 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) Business Name: Brent Nelson
Business Address: 4407 Belmont Avenue Youngstown, OH 44505
Nature of Business: Fixed Indexed
Investment Related: Yes
Business Position, Title or Association: Agent
Business Duties: Agent and Advisor
Approximate Hours Devoted to Business: 5 hours per month
Approximate Hours Devoted to Business during Market Hours: 1/2 per month

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
Customer Dispute	2
Investigation	1
Termination	2

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:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	06/03/2002
Docket/Case Number:	0200135
Employing firm when activity occurred which led to the regulatory action:	WPR IINVESTMENTS, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	RESPONDENT'S SALESPERSON REGISTERATION IS SUBJECT TO REVOCATION PURSUANT TO A NASDR ENTERED LETTER OF ACCEPTANCE,FILE NO. C9AO10026.
Current Status:	Final
Resolution:	Order
Resolution Date:	09/06/2002
Sanctions Ordered:	Revocation/Expulsion/Denial

Other Sanctions Ordered:	
Sanction Details:	THE RESPONDENT'S REGISTRAION AS A SALESPERSON IN ILLINOIS IS REVOKED.
Regulator Statement	A NOTICE OF HEARING, ISSUED JUNE 3, 2002. THE HEARING IS SCHEDULED FOR AUGUST 7, 2002. AN ORDER OF REVOCATION ISSUED SEPTEMBER 6, 2002. CONTACT: (217) 785-4948

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF ILLINOIS
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	06/03/2002
Docket/Case Number:	0200135
Employing firm when activity occurred which led to the regulatory action:	AC FINANCIAL
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	RESONDENT'S REGISTRATION IS SUBJECT TO REVOCATION PURSUANT TO AN NASDR ENTERED LETTER OF ACCEPTANCE, FILE # C9A010026
Current Status:	Final
Resolution:	Order
Resolution Date:	09/06/2002
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	NELSON'S REGISTRATION IS REVOKED IN THE STATE OF ILLINOIS

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/12/2001
Docket/Case Number:	C9A010026
Employing firm when activity occurred which led to the regulatory action:	AC FINANCIAL, INC.
Product Type:	Other

Other Product Type(s):	IPOS
Allegations:	NASD RULES 2110 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE SOLD SHARES OF INITIAL PUBLIC OFFERINGS (IPOS) TO PUBLIC CUSTOMERS AND IN CONNECTION WITH THE SALE OF ALLEGED SHARES OF IPOS, NELSON NEGLIGENTLY MISREPRESENTED THAT THE FIRM OFFERING THE IPOS HAD ACQUIRED THESE SHARES THROUGH AGREEMENTS WITH MEMBER FIRMS WHEN IN FACT THERE WERE NO AGREEMENTS WITH THESE FIRMS AND THE SHARES IN THE IPOS WERE NEVER ACQUIRED.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/12/2001
Sanctions Ordered:	Disgorgement/Restitution Suspension
Other Sanctions Ordered:	
Sanction Details:	SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 30 BUSINESS DAYS AND ORDERED TO PAY DISGORGEMENT OF $14,500, REPRESENTING COMMISSIONS. SATISFACTORY PROOF OF PAYMENT OF DISGORGEMENT SHALL BE PROVIDED TO NASD REGULATION, INC. NOT LATER THAN 120 DAYS AFTER ACCEPTANCE OF THIS AWC. SUSPENSION EFFECTIVE 01/22/02 TO CLOSE OF BUSINESS 03/06/02.

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCATION OF SECURITIES DEALERS, INC
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	SUSPENSION
Date Initiated:	12/21/2001
Docket/Case Number:	C9A010026
Employing firm when activity occurred which led to the regulatory action:	AC FINANCIAL, INC.
Product Type:	Other
Other Product Type(s):	INITIAL PUBLIC OFFERINGS
Allegations:	VIOLATION OF NASD RULE 2110, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, NELSON CONSENTED TO THE ENTRY OF FINDINGS THAT HE SOLD SHARES OF IPOS TO PUBLIC CUSTOMERS, AND IN CONNECTION WITH THE SALES OF ALLEGED SHARES OF IPOS, NELSON NEGLIGNETLY MISREPRESENTED THAT THE FIRM OFFERING THE IPOS HAD ACQUIRED THESE SHARES THORUGH AGREEMENTS WITH MEMBER FIRMS, WHEN IN FACT THERE WERE NO AGREEMENTS WITH THESE FIRMS AND THE SHARES IN THE IPOS WERE NEVER ACQUIRED
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

Resolution Date:	12/21/2001
Sanctions Ordered:	Disgorgement/Restitution Suspension
Other Sanctions Ordered:	
Sanction Details:	NELSON WAS SUSPENDED FROM ASSOCIATION IN ANY WAY WITH ANY NASD FIRM AND ORDERED TO PAY DISGORGEMENT OF $14,500.00 REPRESENTING THE COMMISSIONS PAID TO HIM FOR THESE SALES. SATISFACTORY PROOF OF PAYMENT OF DISGORGEMENT SHALL BE PROVIDED TO THE NASD NOT LATER THAN 120 DAYS AFTER ACCEPTANCE OF THIS AWC. SUSPENSION EDDECTIVE 1/22/02 TO THE CLOSE OF BUSINESS 3/6/2002

Investigation

This disclosure event involves any ongoing formal investigation such as a grand jury investigation, a Securities and Exchange Commission investigation, a formal investigation by a self-regulatory organization (e.g., FINRA), or an action or procedure designated as an investigation by a state or other regulator. Subpoenas, preliminary or routine regulatory inquiries, and general requests by these regulatory bodies for information are not considered investigations and therefore are not required to be reported.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	STATE OF OHIO DEPT OF COMMERCE DIVISION OF SECURITIES
Notice Date:	05/17/2007
Details:	SUSPENSION OF OHIO SECURITES & INVESTMENT ADVISER LICENSE. NOTICE OF INTENT TO REVOKE OHIO SECURITES & INVESTMENT ADV LICENSE, WHICH WAS STAYED BY COURT OF COMMON PLEAS TRUMBULL COUNTY ORDER DTD 5/27/07

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	STONEX SECURITIES INC.; WRP Investments
Allegations:	Claimant alleges respondent sold high-commission, complex, risky alternative investment and illiquid investment products causing significant decrease in the value of invested principal.
Product Type:	Real Estate Security Other: Non Traded REIT
Alleged Damages:	$180,000.00
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 #:	24-01797
Filing date of arbitration/CFTC reparation or civil litigation:	08/20/2024

Customer Complaint Information

Date Complaint Received:	08/21/2024
Complaint Pending?	No
Status:	Settled
Status Date:	11/25/2025
Settlement Amount:	$45,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AC FINANCIAL
Allegations:	CUSTOMER ALLEGES THAT HE DIDNT KNOW HIS ACCOUNT WAS ON MARGIN.

Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$30,000.00

Customer Complaint Information

Date Complaint Received:	02/07/2001
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

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 2

Reporting Source:	Individual
Firm Name:	AC FINANCIAL
Termination Type:	Voluntary Resignation
Termination Date:	01/25/2000
Allegations:	AC FINANCIAL IS CONDUCTING AN INTERNAL REVIEW REGARDING ALLEGATIONS SET FORTH BY THEIR CLEARING AGENT.
Product Type:	Other
Other Product Types:	
Broker Statement	APPLICANT VEHEMENTLY DENIES THE ALLEGATIONS SET FORTH ABOVE IN THAT APPLICANT WAS DRAWN INTO A SCHEME DEVISED BY HIS EMPLOYER WHOM WHICH APPLICANT TRUSTED, AS HE SHOULD OF.

Disclosure 2 of 2

Reporting Source:	Individual
Firm Name:	FAIRCHILD FINANCIAL GROUP
Termination Type:	Voluntary Resignation
Termination Date:	06/21/1999
Allegations:	BRENT NELSON IS UNDER INTERNAL REVIEW FOR THEFT OFM COMPANY RECORDS.
Product Type:	No Product
Other Product Types:	
Broker Statement	THE BROKER HAS DENIED ALL ALLEGATIONS OF ANY WRONGDOING. FOLLOWING THE BROKER'S RESIGNATION FAIRCHILD FINANCIAL GROUP RAISED QUESTIONS INVOLVING WITH CLIENTS THE BROKER COULD CONTACT. THE BROKER IS DOING EVERYTHING POSSIBLE TO RESOLVE THIS ISSUE AMICABLY.

End of Report

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