



IAPD Report

DANIEL THOMAS SCALZI

CRD# 411967

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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

DANIEL THOMAS SCALZI (CRD# 411967)

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 **06/02/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BROOKSTONE CAPITAL MANAGEMENT LLC	CRD# 141413	06/02/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	NEW YORK, NY	07/07/2015 - 05/13/2021
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	NEW YORK, NY	07/07/2015 - 05/13/2021
IA	STERNE AGEE ASSET MANAGEMENT, INC.	130888	NEW YORK, NY	09/12/2014 - 07/07/2015

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
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 **3** 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
	Connecticut	Investment Adviser Representative	Approved	06/02/2021
	Delaware	Investment Adviser Representative	Approved	06/04/2021
	New York	Investment Adviser Representative	Approved	06/10/2021

Branch Office Locations

BROOKSTONE CAPITAL MANAGEMENT LLC
Danbury, CT








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 5 principal/supervisory exams, 8 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	04/01/2005
 Registered Options Principal Examination (S4)	Series 4	12/30/1998
 General Securities Principal Examination (S24)	Series 24	02/02/1996
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/24/1985
 NYSE Branch Manager Examination (S12)	Series 12	04/11/1981

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Research Analyst Exam - Part II Regulations Module (S87)	Series 87	08/15/2007
 Research Analyst Exam - Part I Analysis Module (S86)	Series 86	07/31/2007
 Interest Rate Options Examination (S5)	Series 5	11/14/1985
 Foreign Currency Options Examination (S15)	Series 15	11/17/1982
 National Commodity Futures Examination (S3)	Series 3	11/11/1981
 Registered Representative Examination (S1)	Series 1	03/26/1974



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/25/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/16/1983

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
B	07/07/2015 - 05/13/2021	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	NEW YORK, NY
IA	07/07/2015 - 05/13/2021	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	NEW YORK, NY
IA	09/12/2014 - 07/07/2015	STERNE AGEE ASSET MANAGEMENT, INC.	CRD# 130888	NEW YORK, NY
B	09/12/2014 - 07/07/2015	STERNE, AGEE & LEACH, INC.	CRD# 791	NEW YORK, NY
IA	01/24/2011 - 09/16/2014	OPPENHEIMER & CO. INC.	CRD# 249	STAMFORD, CT
B	01/14/2011 - 09/16/2014	OPPENHEIMER & CO. INC.	CRD# 249	STAMFORD, CT
IA	01/03/2011 - 01/19/2011	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	SOUTHPORT, CT
B	05/15/2009 - 01/19/2011	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	SOUTHPORT, CT
IA	07/01/2008 - 12/31/2010	US FINANCIAL ADVISORS, LLC	CRD# 108763	SOUTHPORT, CT
B	07/01/2008 - 05/21/2009	U.S. WEALTH ADVISORS, LLC.	CRD# 126924	SOUTHPORT, CT
IA	08/07/2006 - 09/12/2008	MATRIX INVESTMENT RESEARCH LLC	CRD# 136048	NEW YORK, NY
B	06/19/2003 - 03/04/2008	MATRIX U.S.A., LLC	CRD# 38057	NEW YORK, NY
B	03/09/1999 - 04/11/2002	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	06/24/1998 - 02/04/1999	JWGENESIS SECURITIES, INC.	CRD# 33832	BOCA RATON, FL
B	09/17/1996 - 06/26/1998	CIBC OPPENHEIMER CORP.	CRD# 630	NEW YORK, NY
B	12/11/1995 - 08/29/1996	AUERBACH, POLLAK & RICHARDSON INC.	CRD# 29824	STAMFORD, CT
B	06/20/1989 - 11/28/1995	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ



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	09/03/1985 - 05/20/1989	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	
B	09/12/1980 - 09/09/1985	THOMSON MCKINNON SECURITIES INC.	CRD# 829	
B	10/10/1979 - 10/11/1980	BACHE HALSEY STUART SHIELDS INCORPORATED	CRD# 7471	
B	04/21/1978 - 04/29/1979	BLYTH EASTMAN DILLON & CO. INCORPORATED	CRD# 6361	
B	09/10/1974 - 05/03/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

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
06/2021 - Present	Brookstone Capital Management	Investment Advisor Representative	Y	Wheaton, IL, United States
07/2015 - 05/2021	STIFEL, NICOLAUS & COMPANY, INCORPORATED	Financial Advisor Associate	Y	ST. LOUIS, MO, 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.

JD Mellberg FiNancial, Retirement Income Planning, 3067 W Ina Rd,Suite 105, Tucson, AZ 85741, Insurance, Investment Advisor, Start date:5/17/2021, 120 hours p/m, 5 hours a day during the trading day, Retirement Income Sales.



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
Customer Dispute	1
Termination	1

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: Individual

Employing firm when activities occurred which led to the complaint: PAINWEBBER

Allegations: FAILURE TO SUPERVISE INVESTMENT EXECUTIVE WHO ALLEGEDLY ENTERED UNAUTHORIZED TRADES IN CUSTOMER ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/01/1991

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/07/1992

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: AMERICAN ARBITRATION ASSOCIATION; 32-136-0381-91-ID



Date Notice/Process Served:	10/08/1991
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/17/1992
Monetary Compensation Amount:	\$50,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	SETTLED FOR \$50,000 UNAUTHORIZED TRADES WERE ALLEGEDLY ENTERED FROM 1988 THRU 1990 I WAS THE BRANCH MANAGER AT THE TIME OF THE COMPLAINT BUT WAS NOT THE MANAGER AT THE TIME, MOST OF THE ORDERS WERE ENTERED CUSTOMER FILED AS AN ARBITRATION 10/91 WHICH WAS SETTLED ON 7/17/92



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: Firm

Firm Name: MATRIX USA LLC

Termination Type: Discharged

Termination Date: 02/03/2008

Allegations: TERMINATED BY MATRIX USA, LLC ("MUSA") DUE TO FAILING AND REFUSING TO FOLLOW SPECIFIC INSTRUCTIONS, FIRM POLICIES AND PROCEDURES

Product Type: No Product

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Reporting Source: Individual

Firm Name: MATRIX USA LLC

Termination Type: Discharged

Termination Date: 02/03/2008

Allegations: DIVERSION OF COMPANY FUNDS TO SELF OR AFFILIATES; FAILURE TO SUPERVISE.

Product Type: No Product

Other Product Types:

Broker Statement

AFTER THE DEATH IN MAY,'07 OF [BROKER DEALER PRESIDENT], THE MANAGING BOARD MEMBER,THE REMAINING BOARD MEMBER,[THIRD PARTY] BECAME ACTIVE IN THE MANAGEMENT OF THE FIRM. SHE AND [BROKER DEALER PRESIDENT'S] HEIR, [FAMILY MEMBER], INVESTIGATED MANY OPTIONS FOR THE CONTINUATION OF THE FIRM, BE THEY ADDITIONAL FINANCING, A SALE OF THE FIRM OR A COMBINATION OF THE TWO. THEY DECIDED ON ADDITIONAL FINANCING AND A NEW PRESIDENT. ALTHOUGH NOT SPECIFICALLY INFORMED, I WAS PREPARED TO BE REPLACED. ON 02/03/08 [FAMILY MEMBER] CONTACTED ME AND INFORMED ME THEY WERE HIRING A NEW SENIOR EXECUTIVE TO RUN THE FIRM AND I NO LONGER WOULD BE NEEDED. NO REFERENCE WAS MADE TO THE ALLEGATIONS WHICH NOW APPEAR ON MY U5. UPON RECIPET OF FALSE ALLEGATIONS, I INITIATED FINRA DEFAMATION PROCEEDINGS.



End of Report

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