IAPD Report

Kevin Gregory Bruce

CRD# 4460048

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

Kevin Gregory Bruce (CRD# 4460048)

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 **06/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CWM, LLC	CRD# 155344	10/29/2025
IA	HFG WEALTH MANAGEMENT, LLC	CRD# 148406	06/03/2026

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	HFG WEALTH MANAGEMENT, LLC	148406	THE WOODLANDS, TX	11/03/2023 - 11/03/2025
IA	ALIGN INVESTMENT RESEARCH, LLC	332250	WILLIS, TX	08/20/2024 - 10/22/2025
IA	WATERSIDE WEALTH ADVISORS, LLC	309778	CONROE, TX	07/10/2020 - 12/31/2023

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

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 2

Firm Name: **HFG WEALTH MANAGEMENT, LLC**

Main Address: 1790 HUGHES LANDING BLVD
SUITE 575
THE WOODLANDS, TX 77380

Firm ID#: 148406

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	06/03/2026

Branch Office Locations

HFG WEALTH MANAGEMENT, LLC
1790 HUGHES LANDING BLVD
SUITE 575
THE WOODLANDS, TX 77380

Employment 2 of 2

Firm Name: **CWM, LLC**

Main Address: 14600 BRANCH ST.
OMAHA, NE 68154

Firm ID#: 155344

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	10/29/2025

Branch Office Locations

CWM, LLC
Willis, TX

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	05/28/2015
B	General Securities Representative Examination (S7)	Series 7	11/13/2001

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/15/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/18/2002

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Analyst

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	11/03/2023 - 11/03/2025	HFG WEALTH MANAGEMENT, LLC	CRD# 148406	THE WOODLANDS, TX
IA	08/20/2024 - 10/22/2025	ALIGN INVESTMENT RESEARCH, LLC	CRD# 332250	WILLIS, TX
IA	07/10/2020 - 12/31/2023	WATERSIDE WEALTH ADVISORS, LLC	CRD# 309778	CONROE, TX
IA	10/06/2022 - 02/01/2023	G. A. REPPLE & COMPANY	CRD# 17486	Willis, TX
IA	07/05/2018 - 01/03/2019	BELLATORE FINANCIAL, INC.	CRD# 143543	SAN JOSE, CA
IA	09/11/2017 - 03/09/2018	HFG WEALTH MANAGEMENT, LLC	CRD# 148406	THE WOODLANDS, TX
IA	05/13/2014 - 06/09/2015	MBM ADVISORS, INC.	CRD# 106507	HOUSTON, TX
IA	09/17/2014 - 05/28/2015	BOK FINANCIAL ADVISORS	CRD# 17530	HOUSTON, TX
B	05/12/2014 - 05/28/2015	BOSC, INC.	CRD# 17530	HOUSTON, TX
B	03/18/2014 - 06/11/2014	TRIAD ADVISORS, INC.	CRD# 25803	HOUSTON, TX
IA	07/02/2012 - 10/26/2012	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	SAN DIEGO, CA
B	08/08/2011 - 10/12/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA
IA	08/09/2011 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA
IA	09/21/2009 - 06/14/2011	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
B	09/17/2009 - 06/14/2011	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
IA	07/25/2008 - 09/23/2009	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	DENVER, CO

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	07/23/2008 - 09/23/2009	NATIONAL PLANNING CORPORATION	CRD# 29604	DENVER, CO
IA	09/18/2006 - 10/13/2006	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	LAKEWOOD, CO
B	08/22/2006 - 10/13/2006	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	LAKEWOOD, CO
B	11/14/2001 - 04/28/2005	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, 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
05/2026 - Present	HFG Wealth Management, LLC	President and CIO	Y	The Woodlands, TX, United States
04/2026 - 05/2026	Carson Group	Director, Alternative Investments	Y	Willis, TX, United States
10/2025 - 05/2026	CWM, LLC	Investment Advisor Representative	Y	Omaha, NE, United States
10/2025 - 04/2026	Carson Group	Analyst, Alternative Due Diligence	Y	Willis, TX, United States
07/2024 - 10/2025	Align Investment Research, LLC	Chief Executive Officer, Sole Member and CCO	Y	Willis, TX, United States
10/2023 - 10/2025	HFG Wealth Management, LLC	Chief Strategy Officer	Y	The Woodlands, TX, United States
06/2020 - 12/2023	Waterside Wealth Advisors, LLC	Managing Member, CCO and Designated Officer	Y	Conroe, TX, United States
02/2019 - 05/2020	SELF-EMPLOYED	Consultant	N	Conroe, TX, United States
06/2018 - 01/2019	BELLATORE FINANCIAL, INC.	PRESIDENT, CIO, CCO	Y	SAN JOSE, CA, United States
03/2018 - 05/2018	SELF-EMPLOYED	CONSULTANT	N	CONROE, TX, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2016 - 02/2018	HFG WEALTH MANAGEMENT, LLC	CHIEF INVESTMENT STRATEGIST & CHIEF COMPLIANCE OFFICER	Y	THE WOODLANDS, TX, 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.

No information reported.

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

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:	Regulator
Employing firm when activities occurred which led to the complaint:	BOK Financial Securities, Inc.
Allegations:	Bruce was a subject of the customer's complaint against BOK Financial Securities, Inc. that asserted the following causes of action: breach of fiduciary duty, breach of contract, fraud, misrepresentation, unsuitable investment recommendations, violations of FINRA Conduct Rules, failure to supervise, negligent hiring, negligence, and negligent supervision.
Product Type:	Other: unspecified annuity
Alleged Damages:	$55,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #17-03507
Date Notice/Process Served:	12/28/2017
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	11/13/2018
Disposition Detail:	Bruce was a Subject Of the customer's complaint alleging Bruce and his member firm caused sales practice violations. Bruce's member firm is jointly and severally liable for and shall pay to Claimant the sum of $22,071.92, plus interest, in compensatory damages.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK Financial Securities, Inc.
Allegations:	Arbitration filed against BOK Financial Securities, Inc. alleging 1) breach of fiduciary duty, 2) negligence, and 3) negligent supervision. These allegations are related to clients' purchase of a variable annuity from rep Kevin Bruce on or around 10/14/2014.
Product Type:	Annuity-Variable
Alleged Damages:	$55,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Office of Dispute Resolution
Docket/Case #:	17-03507
Filing date of arbitration/CFTC reparation or civil litigation:	12/28/2017

Customer Complaint Information

Date Complaint Received:	01/03/2018
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	11/13/2018
Settlement Amount:	$22,071.92
Individual Contribution Amount:	$0.00
Firm Statement	The Statement of Claim does not mention Kevin Bruce by name, but the firm has made a good faith determination that the sales practice violations alleged involve Mr. Bruce.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	BOK Financial Securities, Inc.
Allegations:	An arbitration was filed against a previous employer of Mr. Bruce, BOK Financial Securities, Inc. alleging 1) breach of fiduciary duty, 2) negligence and 3) negligent supervision. These allegations are related to an investment the client's made on or around 10/14/2014. Mr. Bruce was neither named in the complaint, nor is a party to the arbitration.
Product Type:	Annuity-Variable

Alleged Damages:	$55,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Office of Dispute Resolution
Docket/Case #:	17-03507
Filing date of arbitration/CFTC reparation or civil litigation:	12/28/2017

Customer Complaint Information

Date Complaint Received:	01/03/2018
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	11/13/2018
Settlement Amount:	$22,071.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	17-03507
Date Notice/Process Served:	
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	02/26/2018
Monetary Compensation Amount:	$22,071.00
Individual Contribution Amount:	$0.00
Broker Statement	Four years after I left this firm, a former client complained about the firm. The client was my client for a short time prior to my leaving the firm. I have no knowledge what transpired between the client and firm for four years after my departure, however I was neither named in the complaint nor responsible to pay a cent of any award. Since I was not a party to the arbitration, I did not have representation or fully participate in the process. I still stand behind my recommendation to the client at that time, I believe any wrong doing that may have taken place occurred after my departure.

End of Report

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