



IAPD Report

ERICK J ARNETT

CRD# 5007131

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

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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

ERICK J ARNETT (CRD# 5007131)

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 **10/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BROOKSTONE WEALTH ADVISORS, LLC	CRD# 137658	03/24/2016

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	TRIUMPH WEALTH ADVISORS, INC.	153175	Spring Hill, FL	11/04/2015 - 03/02/2016
B	TAYLOR CAPITAL MANAGEMENT INC.	43559	SPRING HILL, FL	07/29/2013 - 03/02/2016
B	DALTON STRATEGIC INVESTMENT SERVICES INC.	23485	SPRING HILL, FL	02/12/2010 - 07/18/2013

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
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 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
IA Florida	Investment Adviser Representative	Approved	03/24/2016

Branch Office Locations

BROOKSTONE WEALTH ADVISORS, LLC
801 Broad Street
Brooksville, FL 34601

BROOKSTONE WEALTH ADVISORS, LLC
20625 Amberfield Drive
Land O' Lakes, FL 34638

BROOKSTONE WEALTH ADVISORS, LLC
109 NE 4TH ST
CRYSTAL RIVER, FL 34429

BROOKSTONE WEALTH ADVISORS, LLC
5469 Spring Hill Drive
Spring Hill, FL 34606

BROOKSTONE WEALTH ADVISORS, LLC
5327 Commercial Way
Unit C 114
Spring Hill, FL 34606



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B	Securities Industry Essentials Examination (SIE)	SIE	03/02/2016
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B	General Securities Representative Examination (S7)	Series 7	11/01/2005
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State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/10/2015
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IA	B	Uniform Combined State Law Examination (S66)	Series 66	02/01/2006
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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	11/04/2015 - 03/02/2016	TRIUMPH WEALTH ADVISORS, INC.	CRD# 153175	Spring Hill, FL
B	07/29/2013 - 03/02/2016	TAYLOR CAPITAL MANAGEMENT INC.	CRD# 43559	SPRING HILL, FL
B	02/12/2010 - 07/18/2013	DALTON STRATEGIC INVESTMENT SERVICES INC.	CRD# 23485	SPRING HILL, FL
IA	03/03/2008 - 03/30/2009	INVEST FINANCIAL CORPORATION	CRD# 12984	SPRING HILL, FL
B	02/26/2008 - 03/30/2009	INVEST FINANCIAL CORPORATION	CRD# 12984	SPRING HILL, FL
IA	02/13/2006 - 07/19/2007	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	BROOKSVILLE, FL
B	11/02/2005 - 07/19/2007	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	BROOKSVILLE, FL

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
05/2019 - Present	TAKE POINT WEALTH MANAGEMENT	OWNER	Y	SPRING HILL, FL, United States
03/2019 - Present	American Retirement Institute	Educational Instructor	Y	Kennesaw, GA, United States
04/2018 - Present	SunCoast CPA Group	Contractor	Y	Spring Hill, FL, United States
09/2017 - Present	Gallantry Development Group, LLC	Managing Member	N	Spring Hill, FL, United States
03/2016 - Present	RETIREMENT WEALTH ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	SPRING HILL, FL, United States
09/2017 - 05/2019	Valor Money Management, Inc.	Owner	Y	Spring Hill, FL, United States
01/2013 - 09/2017	Preferred Financial Advisors	Investment Advisor Representative	Y	Spring Hill, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2013 - 08/2017	CAMPBELL & COMPANY	OWNER/PRESIDENT	Y	SPRING HILL, FL, 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) Gallantry Development Group, Inc. 5471 Spring Hill Dr. Spring Hill, FL 34606. Not investment Related, Building Spec. Homes, Managing Member, 40 hrs/ mo, 24 hrs/ mo during trading, Buying lots, building spec homes; selling the homes, some sales consulting and project management

(2) SunCoast CPA Group, investment related, 5471 Spring Hill Dr. Spring Hill, FL 34606, CPA Referrals, Contractor, April 2018, 5 hrs/mo all during trading; Currently just a referral relationship and office within SunCoast's offices. In the coming months we may put a partnership together and share compensation.

(3) American Retirement Institute, investment related, 3550 George Busbee Pkwy NW, Kennesaw, GA 30144, Financial Education, Financial Instructor, 4 hrs/ month (zero trade hours). Teaching educational courses.

(4) TAKE POINT WEALTH MANAGEMENT; INVESTMENT RELATED; 5471 SPRING HILL DRIVE, SPRING HILL, FL 34606; INVESTMENT ADVISORY, INSURANCE, TAX PREP; OWNER; STARTED 05/2019; 160 HOURS/MONTH DEVOTED; ALL HOURS DEVOTED DURING SECURITIES TRADING HOURS; OFFER INVESTMENT ADVISORY SERVICES, SALE OF INSURANCE PRODUCTS AND TAX PREPARATION.



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
Customer Dispute	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:	Other: N/A
Date Initiated:	02/13/2017
Docket/Case Number:	2015044778302
Employing firm when activity occurred which led to the regulatory action:	Dalton Strategic Investment Services Inc.
Product Type:	No Product
Allegations:	Arnett was named a respondent in a FINRA complaint alleging that he engaged in an outside business activity by operating a "marketing consulting" firm for compensation without properly disclosing it to his member firm. The complaint alleges that Arnett provided marketing services to his business partner and fellow firm representative, and others in exchange for compensation through his outside business activity. Arnett received 35 checks totaling more than \$60,000 from his business partner alone. The complaint also alleges that Arnett willfully failed to timely amend his Form U4 to disclose a personal bankruptcy.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement



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:

09/29/2017

Sanctions Ordered:

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

Other: The settlement includes a finding that Arnett willfully failed to disclose a material fact 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 the FINRA By-Laws, this omission make him 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:	All Capacities
Duration:	four months
Start Date:	10/02/2017
End Date:	02/01/2018

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	deferred
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

Regulator Statement

Without admitting or denying the allegations, Arnett consented to the sanctions and to the entry of findings that he engaged in an outside business activity by operating a marketing consulting firm for compensation without properly disclosing it to his member firm. The findings stated that Arnett provided marketing services to his business partner and fellow firm representative, and others in exchange for compensation through his outside business activity. Arnett received 35 checks totaling more than \$60,000 from the business partner, including 22 checks totaling more than \$27,000 for which the business partner referenced an entity in the memo line of the check that provided separately-managed futures and commodities trading accounts. The entity was run by an associate of Arnett and the business partner, who had also previously been registered with the firm. Investments in the entity were not offered by or approved for sale by the firm. Arnett knew that his business partner was referring clients to the entity and his marketing efforts for the business partner resulted in client referrals by the



business partner to the entity. The business partner referred approximately 28 people to the entity who collectively invested more than \$2 million, some of whom lost a substantial amount of the money they invested. The findings also stated that Arnett willfully failed to timely amend his Form U4 to disclose a personal bankruptcy.

Reporting Source: Individual

Regulatory Action Initiated By: Financial Industry Regulatory Authority Enforcement Division

Sanction(s) Sought: Bar
Civil and Administrative Penalty(ies)/Fine(s)
Expulsion

Date Initiated: 07/11/2016

Docket/Case Number: 2150447783

Employing firm when activity occurred which led to the regulatory action: Dalton Strategic Investments, Inc.

Product Type: No Product

Allegations: 1) failure to disclose outside business activity
2) failure to timely disclose bankruptcy
3) making false statement to FINRA during an investigation

Current Status: Pending



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:	DALTON STRATEGIC INVESTMENT SERVICES, INC.
Allegations:	MISREPRESENTATION OR MISLEADING INFORMATION. UNSUITABLE RECOMMENDATIONS.
Product Type:	Options
Alleged Damages:	\$13,862.66
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/31/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/31/2010
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT EXECUTED ALL APPROPRIATE PAPERWORK. CLIENT WAS AN AGGRESSIVE INVESTOR AND WAS IN CONTACT CONTINUALLY ABOUT THEIR ACCOUNT. MARKET DRIVEN LOSSES RESULTED IN CLIENT COMPLAINT.



End of Report

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