User Guidance

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# IAPD Report

# Frank A Bruno

CRD# 5824274

# 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

## Frank A Bruno (CRD# 5824274)

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 **07/10/2026**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | EDWARD JONES | CRD# 250 | 09/01/2023 |
| IA | EDWARD JONES | CRD# 250 | 09/01/2023 |

## QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **19** 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 | ALLSTATE FINANCIAL ADVISORS, LLC | 109524 | Thomasville, NC | 08/17/2021 - 08/31/2023 |
| B | ALLSTATE FINANCIAL SERVICES, LLC | 18272 | GREENVILLE, NC | 12/17/2020 - 08/31/2023 |
| IA | PRUDENTIAL FINANCIAL PLANNING SERVICES | 5685 | Greensboro, NC | 09/03/2019 - 12/09/2020 |

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 |
|---|---|
| Financial | 2 |

# 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 **19** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **EDWARD JONES**

Main Address: 12555 MANCHESTER RD
ST. LOUIS, MO 63131

Firm ID#: 250

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | FINRA | General Securities Representative | Approved | 09/01/2023 |
| B | FINRA | Invest. Co and Variable Contracts | Approved | 09/01/2023 |
| B | NYSE American LLC | General Securities Representative | Approved | 09/01/2023 |
| B | Nasdaq Stock Market | General Securities Representative | Approved | 09/01/2023 |
| B | New York Stock Exchange | General Securities Representative | Approved | 09/01/2023 |
| B | Alabama | Agent | Approved | 04/24/2024 |
| B | Alaska | Agent | Approved | 05/11/2026 |
| B | California | Agent | Approved | 07/08/2024 |
| B | Colorado | Agent | Approved | 06/13/2024 |
| B | Delaware | Agent | Approved | 02/13/2025 |
| B | Florida | Agent | Approved | 09/01/2023 |
| B | Georgia | Agent | Approved | 05/27/2026 |
| B | New Hampshire | Agent | Approved | 07/10/2024 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | New Jersey | Agent | Approved | 05/02/2024 |
| B | New York | Agent | Approved | 06/24/2024 |
| B | North Carolina | Agent | Approved | 09/01/2023 |
| IA | North Carolina | Investment Adviser Representative | Approved | 09/01/2023 |
| B | Ohio | Agent | Approved | 05/07/2024 |
| B | Oklahoma | Agent | Approved | 05/11/2026 |
| B | Pennsylvania | Agent | Approved | 01/12/2024 |
| B | South Carolina | Agent | Approved | 09/01/2023 |
| B | Tennessee | Agent | Approved | 02/05/2025 |
| B | Texas | Agent | Approved | 12/20/2023 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 01/05/2024 |
| B | Virginia | Agent | Approved | 01/12/2024 |
| B | West Virginia | Agent | Approved | 04/11/2024 |

### Branch Office Locations

**EDWARD JONES**
809 GREEN VALLEY ROAD STE 102
GREENSBORO, NC  27408

# 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, 3 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 | 10/01/2018 |
| B | General Securities Representative Examination (S7) | Series 7 | 08/26/2013 |
| B | Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 11/21/2010 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA B | Uniform Combined State Law Examination (S66) | Series 66 | 08/15/2019 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 11/29/2010 |

## 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 | 08/17/2021 - 08/31/2023 | ALLSTATE FINANCIAL ADVISORS, LLC | CRD# 109524 | Thomasville, NC |
| B | 12/17/2020 - 08/31/2023 | ALLSTATE FINANCIAL SERVICES, LLC | CRD# 18272 | GREENVILLE, NC |
| IA | 09/03/2019 - 12/09/2020 | PRUDENTIAL FINANCIAL PLANNING SERVICES | CRD# 5685 | Greensboro, NC |
| B | 06/20/2018 - 12/09/2020 | PRUCO SECURITIES, LLC. | CRD# 5685 | Greensboro, NC |
| B | 11/22/2010 - 06/18/2018 | WOODMEN FINANCIAL SERVICES, INC. | CRD# 117365 | OMAHA, NE |

## 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 |
|---|---|---|---|---|
| 08/2023 - Present | EDWARD JONES | FINANCIAL ADVISOR | Y | ST LOUJIS, MO, United States |
| 12/2020 - 08/2023 | Allstate Insurance  Co | Agent | N | Winston Salem, NC, United States |
| 09/2019 - 08/2023 | COLONIAL LIFE | SALES REPRESENTATIVE | N | WINSTON-SALEM, NC, United States |
| 03/2017 - 08/2023 | Business Network International | Area Director | N | Charlotte, NC, United States |
| 03/2016 - 08/2023 | Guilford County Board of Elections | Election Worker | N | Greensboro, NC, United States |
| 10/2008 - 08/2023 | COLUMBUS LIFE | SALES REPRESENTATIVE | N | WINSTON-SALEM, NC, United States |
| 09/2008 - 08/2023 | TRILOGY INVESTMENT GROUP INC | OWNER | N | KERNERSVILLE, NC, United States |
| 09/2005 - 08/2023 | Triad Wine & Gifts Inc | Owner/President | N | Kernersville, NC, United States |
| 06/2018 - 12/2020 | The Prudential Insurance Company of America | Financial Professional | N | Greensboro, NC, United States |
| 06/2010 - 05/2018 | WOODMEN OF THE WORLD LIFE INSURANCE SOCIETY | REPRESENTATIVE | N | OMAHA, NE, United States |

# Registration & Employment History

## 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.

Trilogy Investment Group
Type of business:  Sales of Health Insurance
Location: Kernersville, NC
Position: Owner
Start date:  09/01/2008
Hours per week: 0
Hours during trading: 0
Responsibilities: This is an S-Corporation formed when I was an independent agent for tax purposes. It only receives residual income from past sales. I have no active participation at this time.
****
Triad Wine & Gifts
Type of business:  retail
Location: Kernersville, NC
Start date: 9/1/2005
Position: Owner
hours per week: 0
hours during trading: 0
Responsibilities: This business was set up for retail sales on food, gifts and household item on-line.  My wife, Paula, handles all of the day-to-day operations of the business. I only handle the bookkeeping, I do not have any daily involvement in the business.
****
Guilford County Board of Elections
Type of business: Government and Civic
Greensboro, NC
Start date: 3/1/2016
Election Day Worker
Hours per week: 0
Hours during trading: 0
I work for the Board of Elections during election days helping people at the polls.
****
"Business Networking International
Type: Referral Marketing & Training
Date: 03/01/17
Title: Chapter Success Coach
Trad Hrs: 0
Tot Hrs: 3
Desc: My duties include helping existing networking groups in the area with their administration and training.  There are no financial aspects of this business.  My role is not industry related.
City-State: Charlotte NC"
****
"Triad Wine & Gifts
Type: Sales of retail items
Date: 09/01/05
Title: Owner
Trad Hrs: 0
Tot Hrs: 1
Desc: This business was set up for retail sales on food, gifts and household item on-line.  My wife, Paula, handles all of the day-to-day operations of the business.  I only handle the bookkeeping,  I do not have any daily involvement in the business.
City-State: Kernersville NC"

 

# Registration & Employment History

## OTHER BUSINESS ACTIVITIES

Aetna
Hartford, CT
Start date: 9/1/2018
Hours per week: 0
Hours during trading: 0
Desc: No responsibilities

Ameritas
Lincoln, NE
Start date: 9/1/2018
Hours per week: 0
Hours during trading: 0
Desc: No responsibilities

Colonial Life
Columbia, SC
Start date: 9/1/2019
Hours per week: 0
Hours during trading: 0
Desc: No responsibilities

Columbus Life
Cincinnato, OH
Start date: 10/1/2008
Hours per week: 0
Hours during trading: 0
Desc: No responsibilities

# 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 |
|---|---|
| Financial | 2 |

### Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

#### Disclosure 1 of 2

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Action Type:** | Compromise |
| **Action Date:** | 01/28/2018 |
| **Organization Name:** | N/A |
| **Individual Position:** | N/A |
| **Organization Investment-Related?** | No |
| **Action Pending?** | No |
| **Disposition:** | Satisfied/Released |
| **Disposition Date:** | 12/28/2018 |
| **If a compromise with creditor, provide:** | |
| **Name of Creditor:** | SYNCHRONICTY BANK/MIDLAND BANK |
| **Original Amount Owed:** | $5,564.00 |
| **Terms Reached with Creditor:** | SETTLEMENT AGREEMENT FOR $2,505.00 PAYABLE IN 12 PAYMENTS OF $208.75. |

#### Disclosure 2 of 2

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Action Type:** | Compromise |
| **Action Date:** | 12/28/2017 |

| | |
|---|---|
| **Organization Name:** | N/A |
| **Individual Position:** | N/A |
| **Organization Investment-Related?** | No |
| **Type of Court:** | |
| **Name of Court:** | N/A |
| **Location of Court:** | N/A |
| **Docket/Case #:** | N/A |
| **Action Pending?** | No |
| **Disposition:** | Satisfied/Released |
| **Disposition Date:** | 02/01/2018 |
| **If a compromise with creditor, provide:** | |
| **Name of Creditor:** | CAPITAL ONE |
| **Original Amount Owed:** | $8,066.00 |
| **Terms Reached with Creditor:** | COMPROMISE SETTLEMENT FOR $4,035 TO BE PAID IN FULL ON 1/28/18. |
| **Amount Paid:** | $4,035.00 |
| **SIPA (Securities Investor Protection Act)Trustee:** | TIMBERLINE FINANCIAL |
| **Currently Open?** | No |
| **Date Direct Payment Initiated/Filed or Trustee Appointed:** | |

# End of Report

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