



IAPD Report

Luke Francis Brignola

CRD# 6893438

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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

Luke Francis Brignola (CRD# 6893438)

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 **05/21/2026**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	2881	FORT MYERS, FL	12/24/2025 - 05/21/2026
IA	BANKERS LIFE ADVISORY SERVICES, INC.	281285	Ft Myers, FL	05/11/2022 - 10/08/2025

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
Criminal	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 not currently registered as an Investment Adviser Representative.



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/27/2022
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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	12/24/2025 - 05/21/2026	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	CRD# 2881	FORT MYERS, FL
IA	05/11/2022 - 10/08/2025	BANKERS LIFE ADVISORY SERVICES, INC.	CRD# 281285	Ft Myers, 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
01/2026 - Present	Northwestern Mutual Wealth Management Company	Representative	Y	Milwaukee, WI, United States
11/2025 - Present	Northwestern Mutual Investment Services LLC	Registered Representative	Y	Naples, FL, United States
10/2025 - Present	Northwestern Mutual Life Insurance Company	Agent	Y	Milwaukee, WI, United States
01/2018 - 10/2025	Bankers Life Securities	Registered Representative	Y	Ft Myers, FL, United States
10/2016 - 10/2025	Bankers Life & Casualty	Financial Advisor	Y	Ft Myers, NY, United States
04/2015 - 07/2016	Chipotle Mexican Grill	Head Grill	N	Clifton Park, NY, 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.

MAY EARN COMMISSIONS FROM INSURANCE COMPANIES NOT AFFILIATED WITH NORTHWESTERN MUTUAL FOR SALES OF NON-VARIABLE LIFE, HEALTH, ANNUITY AND/OR DISABILITY INCOME INSURANCE PRODUCTS; NON INVESTMENT-RELATED.



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
Criminal	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source:	Individual
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	
Formal Charges were brought in:	State Court
Name of Court:	Town Village Justice Court Clifton Park Town Court
Location of Court:	Town of Clifton Park in Saratoga County, NY
Docket/Case #:	18040127
Charge Date:	04/08/2018
Charge(s) 1 of 6	
Formal Charge(s)/Description:	VTL 1192 03 - DWI-PREV CONVIC
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Reduced
Date of Amended Charge:	09/26/2018



Charge was Amended or reduced to:	Difficulties in proof
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Charge(s) 2 of 6	
Formal Charge(s)/Description:	VTL 1227 01 - Vio Misc Rules
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Reduced
Date of Amended Charge:	09/26/2018
Charge was Amended or reduced to:	Merged
Amended No of Counts:	1
Amended Charge:	N/A
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Charge(s) 3 of 6	
Formal Charge(s)/Description:	VTL 1128 0A - LANE VIOLATION
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Reduced
Date of Amended Charge:	09/26/2018
Charge was Amended or reduced to:	MERGED
Amended No of Counts:	1
Amended Charge:	N/A
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Charge(s) 4 of 6	
Formal Charge(s)/Description:	VTL 1194 01B - BREATH TEST VIO



No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Reduced
Date of Amended Charge:	09/26/2018
Charge was Amended or reduced to:	MERGED
Amended No of Counts:	1
Amended Charge:	N/A
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Charge(s) 5 of 6	
Formal Charge(s)/Description:	PL 195.05 - OBS GOVT ADMN 2
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Reduced
Date of Amended Charge:	09/26/2018
Charge was Amended or reduced to:	PL 240.20 - DISORD CONDUCT
Amended No of Counts:	1
Amended Charge:	Violation
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Charge(s) 6 of 6	
Formal Charge(s)/Description:	VTL 1180 0A - IMPRUDENT SPEED
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Reduced
Date of Amended Charge:	09/26/2018
Charge was Amended or reduced to:	MERGED
Amended No of Counts:	1
Amended Charge:	N/A
Amended Plea:	GUILTY



Disposition of Amended Charge: Pled guilty

Current Status: Final

Status Date: 09/28/2018

Disposition Date: 09/28/2018

Sentence/Penalty: PL 240.20 - DISORD CONDUCT - Fine \$250 plus \$125 Surcharge paid in full on Disposition date of 9/28/18 with receipt number #H22670. Conditional Discharge was also met via Alcohol Assessment/Evaluation CASAC Certified.

Broker Statement Upon difficulties in proof, the prosecutor extended a Plea Agreement to Merge & Dismiss all 6 original charges into an (1) Unclassified Misdemeanor of Reckless Driving & (2) a violation of Disorderly Conduct contingent upon a Conditional Discharge & Fine. The Conditional Discharge was met in the form of paying fines in full and an Alcohol Assessment/Evaluation CASAC Certified.

Disclosure 2 of 2

Reporting Source: Individual

If charge(s) were brought against an organization over which individual exercised control:

Organization Name:

Investment Related Business: No

Position:

Formal Charges were brought in: State Court

Name of Court: Fifth Judicial District Oswego County

Location of Court: Conway Municipal Center 20 West Oneida Street Oswego, NY 13126

Docket/Case #: CR-00911-16

Charge Date: 03/18/2016

Charge(s) 1 of 1

Formal Charge(s)/Description: PL 155.30 08 EF Gr Larceny-4th: Auto Over \$100

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: Not Guilty

Disposition of charge: Reduced

Date of Amended Charge: 06/06/2016

Charge was Amended or reduced to: Class B Misdemeanor, PL 110-165.05: Unauthorized use of a Motor Vehicle

Amended No of Counts: 1

Amended Charge: Misdemeanor



Amended Plea:	Guilty
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	06/06/2016
Disposition Date:	06/06/2016
Sentence/Penalty:	One-Year Conditional Discharge (CD) starting 6/16/16 ending 6/16/17, \$50 Surcharge, 100h Community Service, & Restitution of \$1,094. All requirements, fines, fees & surcharges imposed at sentence were timely paid in full.
Broker Statement	<p>I was mistaken for being the driver of a car that was stuck on the owner's lawn in mud. As a passing pedestrian, I noticed the vehicle with its doors open and lights on. I approached to see if the driver needed help. With no one nearby or inside the car, I began dialing 911. Before I could finish the call, a State Trooper arrived. The Troopers found me turning on the hazard lights inside the vehicle upon their arrival. They determined I was intoxicated but never administered any tests. The Troopers proceeded to arrest me upon suspicion of stealing the vehicle without concrete evidence I physically moved the vehicle, only substantial evidence. The owner of the car claimed the vehicle was locked indefinitely and was unable to explain its movement from the driveway to the lawn. I was arraigned the same day. Hon. James M. Metcalf of Oswego City Court gave me a Release on Own Recognizance (ROR). I took advantage of the ROR to successfully finish my final semester at University at Albany, State University of New York with a BA in Economics. Additionally, I had recently passed the Life, Accident & Health Agent Exam (1755) on 3/16/16. Judge Metcalf reduced the charge. I pled Guilty on 6/16/2016 (instead of going to trial to quickly absolve myself of the matter). I believe I am not only on the right track in my life, but strongly moving forward as well. I have been contracted with Bankers Life as an Agent since 10/24/16. Since then, I have achieved several accolades: Successful New Agent, completed Trustworthy Selling, Top Veteran Agent for the NE Region 4th Quarter Campaign & have been invited to attend Top Gun in March 12-14th 2018. I am currently studying to the Series 6 with an Exam date of February 9th 2018.</p>



End of Report

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