



Investment Adviser Representative Public Disclosure Report

DEREK NORMAN SAUERWINE

CRD# 6269151

Report #41582-36587, data current as of Tuesday, April 24, 2018.

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



IAPD Information about Investment Adviser Representatives

IAPD offers information on all current-and many former-Investment Adviser Representatives. Investors are strongly encouraged to use IAPD to check the background of Investment Adviser Representatives before deciding to conduct, or continue to conduct, business with them.

- **What is included in a IAPD report?**

- IAPD reports for individual Investment Adviser 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 Investment Adviser 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 Investment Adviser 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 Investment Adviser Representatives.
 -

- **How current is this information?**

- Generally, Investment Adviser 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 Investment Adviser 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>.



Investment Adviser Representative Report Summary

DEREK NORMAN SAUERWINE (CRD# 6269151)

The report summary provides an overview of the Investment Adviser Representative's professional background and conduct. The information contained in this report has been provided by the Investment Adviser 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 Investment Adviser Representative, a previous employing firm, or a securities regulator on **04/20/2018**.

CURRENT EMPLOYERS

BROOKSTONE CAPITAL MANAGEMENT LLC

IARD# 141413

10560 Main Street, Suite 214

Fairfax, VA 22030

Registered with this firm since: 06/08/2016

QUALIFICATIONS

This Investment Adviser Representative is currently registered in **4** jurisdiction(s).

Is this Investment Adviser Representative currently suspended with any jurisdiction? **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 Investment Adviser Representative was previously registered with the following Investment Adviser firms:

FIRM (IARD#) - LOCATION	REGISTRATION DATES
HORTER INVESTMENT MANAGEMENT, LLC (IARD# 119880) - FAIRFAX, VA	11/11/2013 - 06/08/2016

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 Investment Adviser Representative? **No**



Investment Adviser Representative Qualifications

REGISTRATIONS

This section provides the states and U.S. territories in which the Investment Adviser Representative is currently registered and licensed, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the Investment Adviser Representative is currently employed, the address of each location where the Investment Adviser Representative works.

This individual is currently registered with **4** jurisdiction(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 IARD#: 141413

U.S. State/ Territory	Status	Date
Maryland	Approved	06/08/2016
North Carolina	Approved	06/13/2016
Pennsylvania	Approved	04/23/2018
Virginia	Approved	06/08/2016

Branch Office Locations

BROOKSTONE CAPITAL MANAGEMENT LLC
10560 Main Street, Suite 214
Fairfax, VA 22030



Investment Adviser Representative Qualifications

PASSED INDUSTRY EXAMS

This section includes all required state securities exams that the Investment Adviser Representative has passed. Under limited circumstances, an Investment Adviser Representative may attain registration after receiving an exam waiver based on a combination of exams the Investment Adviser Representative has passed and qualifying work experience. Likewise, a new exam requirement may be grandfathered based on an Investment Adviser Representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed the following exams:

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	11/01/2013

PROFESSIONAL DESIGNATIONS

This section details that the Investment Adviser Representative has reported **0** professional designation(s).

No information reported.



Investment Adviser Representative Registration and Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING INVESTMENT ADVISER FIRMS

This section indicates that state registration records show this Investment Adviser Representative previously held registrations with the following firms:

Registration Dates	Firm Name	IARD#	Branch Location
11/11/2013 - 06/08/2016	HORTER INVESTMENT MANAGEMENT, LLC	119880	FAIRFAX, VA

EMPLOYMENT HISTORY

Below is the Investment Adviser Representative's employment history for up to the last 10 years.

Please note that the Investment Adviser Representative is required to provide this information only while registered and the information is not updated after the Investment Adviser Representative ceases to be registered, with a state regulator. Therefore, an employment end date of "Present" may not reflect the Investment Adviser Representative's current employment status.

Employment Dates	Employer Name	Employer Location
06/2016 - Present	Brookstone Capital Management LLC	Wheaton, IL
03/2010 - Present	CTS FINANCIALS LLC D/B/D Three Leaf Financial	ASHBURN, VA
11/2013 - 06/2016	HORTER INVESTMENT MANAGEMENT, LLC	CINCINNATI, OH
12/2004 - 03/2010	CAPSTONE HOTELS/BAYWOOD HOTELS	GREENBELT, MD

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the Investment Adviser Representative regarding other business activities the Investment Adviser 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.

OWNER OF CTS FINANCIALS LLC, WHICH OPERATES FOR THE PURPOSE OF INSURANCE PRODUCTS. PRODUCTS USED FOR CLIENT ARE LONG TERM CARE INSURANCE, LIFE INSURANCE AND FIXED ANNUITIES. IT IS A SINGLE PERSON PRACTICE AND LICENSING IS HELD FOR VIRGINIA, WEST VIRGINIA AND MARYLAND. 99% OF ALL BUSINESS IS CONDUCTED IN VIRGINIA.



End of Report

This page is intentionally left blank.