

The Full 360^o Compliance View Washington DC 2020



Matt Lovett

Chief Compliance Officer, Brookstone Capital Management

Matt has over nineteen years of comprehensive compliance experience having served in several positions including CCO for both broker-dealers and Registered Investment Advisors. He was responsible for overseeing all aspects of compliance for over 400 associated persons, including providing guidance on complex broker-dealer and investment advisor issues; FINRA, SEC, MSRB and state securities rules and regulations; and developing and implementing compliance policies and procedures. He has guided firms through several FINRA, SEC and state regulatory audits and implements practical solutions to meet regulatory requirements.

Matt started in the financial services industry as a bank affiliated registered financial specialist and has held multiple FINRA licenses including the Series 6, 7, 24, 53, 63, 66, 79, 87 and 99. He received a B.A. in Economics from the University of Maryland. Currently, he is the CCO for Brookstone Capital Management, LLC, a Wheaton, IL based RIA with over \$2.8 billion in assets under management.