



IAPD Report

TERRY EUGENE DUPONT

CRD# 1181537

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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

TERRY EUGENE DUPONT (CRD# 1181537)

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 **01/09/2026**.

CURRENT EMPLOYERS

| Firm | CRD# | Registered Since |
|-------------------------------|-------------|------------------|
| IA BROOKWOOD INVESTMENT GROUP | CRD# 316544 | 01/23/2026 |

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 DUPONT ADVISORY GROUP | 153304 | ROANN, IN | 01/31/2011 - 12/31/2025 |
| IA EQUITY ASSET ADVISORS, LLC | 153304 | INDIANAPOLIS, IN | 08/13/2010 - 12/31/2010 |
| B MADISON AVENUE SECURITIES, INC. | 23224 | FISHERS, IN | 03/14/2006 - 12/07/2007 |

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 | 2 |
| 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 currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **BROOKWOOD INVESTMENT GROUP**
Main Address: 3930 E. RAY ROAD
SUITE 155
PHOENIX, AZ 85044
Firm ID#: 316544

| Regulator | Registration | Status | Date |
|-------------------|-----------------------------------|----------|------------|
| IA Indiana | Investment Adviser Representative | Approved | 01/23/2026 |

Branch Office Locations

BROOKWOOD INVESTMENT GROUP
ROANN, IN



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, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

No information reported.

General Industry/Product Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|---|----------|------------|
| B Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 01/31/2005 |
|---|----------|------------|

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|--|-----------|------------|
| IA Uniform Investment Adviser Law Examination (S65) | Series 65 | 07/27/2010 |
|--|-----------|------------|

| | | |
|---|-----------|------------|
| B Uniform Securities Agent State Law Examination (S63) | Series 63 | 01/24/2005 |
|---|-----------|------------|

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 | 01/31/2011 - 12/31/2025 | DUPONT ADVISORY GROUP | CRD# 153304 | ROANN, IN |
| IA | 08/13/2010 - 12/31/2010 | EQUITY ASSET ADVISORS, LLC | CRD# 153304 | INDIANAPOLIS, IN |
| B | 03/14/2006 - 12/07/2007 | MADISON AVENUE SECURITIES, INC. | CRD# 23224 | FISHERS, IN |
| B | 10/07/1994 - 12/19/1995 | INVESTMENT PLANNERS, INC. | CRD# 18557 | DECATUR, IL |
| B | 06/15/1990 - 01/27/1995 | JOHN HANCOCK DISTRIBUTORS, INC. | CRD# 468 | BOSTON, MA |
| B | 06/15/1990 - 01/27/1995 | JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY | CRD# 5181 | BOSTON, MA |
| B | 11/21/1989 - 08/22/1990 | MUTUAL BENEFIT FINANCIAL SERVICE COMPANY | CRD# 4882 | |
| B | 02/27/1987 - 03/29/1989 | SENTRY EQUITY SERVICES, INC. | CRD# 5069 | STEVENS POINT, WI |
| B | 10/29/1984 - 02/13/1987 | NWNL MANAGEMENT CORPORATION | CRD# 2882 | |
| B | 07/27/1983 - 09/17/1984 | COUNTRY CAPITAL MANAGEMENT COMPANY | CRD# 12060 | |

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 |
|-------------------|-------------------------|---|--------------------|---------------------------------|
| 01/2021 - Present | Redwood Tax Specialists | Managing Director | N | Warsaw, IN, United States |
| 07/2010 - Present | DUPONT ADVISORY GROUP | MANAGING MEMBER/INVESTMENT ADVISOR REPRESENTATIVE | Y | ROANN, IN, United States |
| 01/2003 - Present | DUPONT & ASSOCIATES | PRESIDENT/ CEO | N | INDIANAPOLIS, IN, 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.

OWNER OF DUPONT & ASSOCIATES. SALES OF LIFE INSURANCE, HEALTH INSURANCE, AND ANNUITIES. 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 |
|------------------|-------|
| Regulatory Event | 2 |
| Criminal | 2 |

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 2

| | |
|---|--|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | Florida Office of Financial Regulation |
| Sanction(s) Sought: | Denial |
| Date Initiated: | 02/17/2017 |
| Docket/Case Number: | 70345-SR |
| URL for Regulatory Action: | |
| Employing firm when activity occurred which led to the regulatory action: | Equity Asset Advisors, LLC aka DuPont Wealth Management |
| Product Type: | No Product |
| Allegations: | Making a material misstatement on the application for registration |
| Current Status: | Final |
| Resolution: | Order |
| 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: | 03/24/2017 |
| Sanctions Ordered: | Denial |



Regulator Statement On 3/24/2017, the Office of Financial Regulation issued a Final Order, denying Terry Eugene DuPont's application for registration as an associated person of Equity Asset Advisors, LLC aka Dupont Wealth Management, after he failed to request a hearing. The Final Order follows a Notice of Intent to Deny, which alleged Terry Eugene DuPont made a material misrepresentation or misstatement on his application for registration.

Reporting Source: Individual
Regulatory Action Initiated By: Florida Office of Financial Regulation
Sanction(s) Sought: Denial
Date Initiated: 02/17/2017
Docket/Case Number: 70345-SR
Employing firm when activity occurred which led to the regulatory action: Equity Asset Advisors, LLC aka DuPont Wealth Management
Product Type: No Product
Allegations: Making a material misstatement on the application for registration.
Current Status: Final
Resolution: Order
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: 03/24/2017
Sanctions Ordered: Denial

Disclosure 2 of 2

Reporting Source: Individual
Regulatory Action Initiated By: INDIANA DEPARTMENT OF INSURANCE
Sanction(s) Sought: Other
Other Sanction(s) Sought: ENFORCEMENT
Date Initiated: 06/15/2004
Docket/Case Number: IDOI-AG04-019
Employing firm when activity occurred which led to the regulatory action: DUPONT & ASSOCIATES
Product Type: Insurance
Other Product Type(s):



| | |
|---------------------------------|--|
| Allegations: | ALLEGATIONS RAISED BY THE MONY GROUP THAT TERRY DUPONT SIGNED THE NAME OF HIS PARTNER, WHO WAS APPOINTED WITH THE MONY GROUP, TO A MONY GROUP LIFE INSURANCE CONTRACT |
| Current Status: | Final |
| Resolution: | Order |
| Resolution Date: | 06/15/2004 |
| Sanctions Ordered: | Monetary/Fine \$3,000.00 |
| Other Sanctions Ordered: | |
| Sanction Details: | DEPARTMENT OF INSURANCE ISSUED A FINAL ORDER THAT TERRY DUPONT WAS TO PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$3000 PAYABLE IN 6 MONTHLY PAYMENTS OF \$500. PAYMENTS MADE IN MONTHS OF JUNE THROUGH NOVEMBER, 2004. |



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: Wabash Superior Court

Location of Court: County of Wabash, Indiana

Docket/Case #: 85D01-0911-FD-798

Charge Date: 11/22/2009

Charge(s) 1 of 1

Formal Charge(s)/Description: Count 1: Operating vehicle as HTV, 9-30-10-16, class D felony
Count 2: Operating a vehicle while intoxicated, class D felony

No of Counts: 2

Felony or Misdemeanor: Felony

Plea for each charge: Guilty

Disposition of charge: Pled guilty

Current Status: Final

Status Date: 02/08/2011

Disposition Date: 02/08/2011

Sentence/Penalty: 1 and half years in the Indiana Department of Corrections starting around 02/08/2011 ending around 04/08/2012, may be served on EHD and successfully complete the Wabash County Drug Court Program. Licensed suspended for Life and pay court costs of \$364.50.

Broker Statement

In 2011, Mr. DuPont completed extensive outpatient treatment for his affliction, and later that year co-founded the Celebrate Recovery chapter in North Manchester, Indiana. Celebrate Recovery is an international faith based recovery program, founded by Rick Warren and Saddle Back Church in California. Through Celebrate Recovery, Mr. DuPont is helping countless others survive their afflictions, hurts, habits and hangups. On March 6th, 2018, the Wabash Superior Court in Wabash, Indiana granted Mr. DuPont reinstatement of his driving privileges. The Judge in the case emphasized and commended Mr. DuPont on his concerted and continuous effort to succeed in overcoming his affliction, and his willingness to help and mentor others that suffer from similar afflictions. Proceedings are now being initiated through the court to expunge Mr. DuPont's record of the unfortunate



events.

Disclosure 2 of 2

Reporting Source: Individual

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: INDIANA SUPERIOR COURT, HAMILTON COUNTY - 1 HAMILTON COUNTY SQUARE, NOBLESVILLE, INDIANA, CASE# 29D05-0006-DF-03479

Charge Date: 05/08/2001

Charge Details: 1. ONE COUNT-OPERATING WHILE INTOXICATED, 2. CLASS D FELONY. PLEAD GUILTY TO CLASS D FELONY. CONVICTION LATER REDUCED TO ALTERNATIVE (A) MISDEMEANOR, 3. UNDER PLEA AGREEMENT PLEAD GUILTY TO FELONY CHARGE. LATER REDUCED TO MISDEMEANOR CHARGE, AND 4. N/A

Felony? Yes

Current Status: Final

Status Date: 05/23/2003

Disposition Details: A. CONVICTED. LATER REDUCED TO CONVICTION OF MISDEMEANOR CHARGE AFTER SERVING PROBATION, B. 05/08/2001, C. PROBATION, D. TWO YEARS, E. 05/08/2001, F. 2 YEARS PROBATION, G. N/A

Broker Statement ON MAY 8, 2001 I WAS CHARGED WITH OPERATING WHILE INTOXICATED, A CLASS D FELONY. I PLEAD GUILTY WITH 2 YEARS OF PROBATION. AFTER SERVING PROBATION, CHARGES REDUCED TO AN ALTERNATIVE (A) MISDEMEANOR, COMPLETED AND DISCHARGED ON MAY 23, 2003.



End of Report

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