



IAPD Report

DENTON LANE BROOKS

CRD# 1835511

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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

DENTON LANE BROOKS (CRD# 1835511)

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 **05/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GWN SECURITIES INC.	CRD# 128929	10/02/2006
B	GWN SECURITIES INC.	CRD# 128929	10/09/2006

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	ING FINANCIAL ADVISERS, LLC	34815	HUDSON, OH	01/07/2005 - 09/27/2006
B	ING FINANCIAL ADVISERS, LLC	34815	HUDSON, OH	01/03/2005 - 09/27/2006
B	PMG SECURITIES CORPORATION	27107	ELGIN, IL	05/03/2002 - 12/31/2004

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
Customer Dispute	2
Termination	1



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 9 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **GWN SECURITIES INC.**
Main Address: 11440 NORTH JOG ROAD
PALM BEACH GARDENS, FL 33418-3764
Firm ID#: 128929

Regulator	Registration	Status	Date
B FINRA	Direct Participation Programs	Approved	10/09/2006
B FINRA	General Securities Principal	Approved	10/09/2006
B FINRA	General Securities Representative	Approved	10/09/2006
B FINRA	Invest. Co and Variable Contracts	Approved	10/09/2006
B Alabama	Agent	Approved	11/13/2018
B Arizona	Agent	Approved	01/09/2019
B Florida	Agent	Approved	07/30/2021
IA Florida	Investment Adviser Representative	Approved	10/11/2022
B Georgia	Agent	Approved	07/29/2021
B Indiana	Agent	Approved	01/11/2019
B Nevada	Agent	Approved	05/05/2021
IA Ohio	Investment Adviser Representative	Approved	10/02/2006
B Ohio	Agent	Approved	10/09/2006



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	07/12/2016
B Texas	Agent	Approved	12/12/2009

Branch Office Locations

GWN SECURITIES INC.
HUDSON, OH

GWN SECURITIES INC.
MARCO ISLAND, FL




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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	02/08/1996

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/24/1995
 Direct Participation Programs Representative Examination (S22)	Series 22	01/11/1990
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/25/1988

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/13/1997
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/14/1995

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	01/07/2005 - 09/27/2006	ING FINANCIAL ADVISERS, LLC	CRD# 34815	HUDSON, OH
B	01/03/2005 - 09/27/2006	ING FINANCIAL ADVISERS, LLC	CRD# 34815	HUDSON, OH
B	05/03/2002 - 12/31/2004	PMG SECURITIES CORPORATION	CRD# 27107	ELGIN, IL
B	01/02/2002 - 05/03/2002	BAIRD MANAGEMENT CORPORATION	CRD# 45556	IRVING, TX
B	02/21/1997 - 12/31/2001	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	11/07/1994 - 03/13/1997	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	02/04/1992 - 12/20/1993	MAIN STREET MANAGEMENT COMPANY	CRD# 547	BOSTON, MA
B	02/14/1989 - 02/25/1992	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	07/26/1988 - 03/13/1989	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	
B	07/26/1988 - 03/13/1989	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	

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
09/2006 - Present	GWN SECURITIES INC.	REG. REP.	Y	PALM BEACH GARDENS, FL, United States
01/2005 - Present	ING	BROKER	Y	HUDSON, OH, United States
07/1995 - Present	CLEERCREEK FINANCIAL CORP	PRESIDENT	Y	HUDSON, OH, 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.

1931 GEORGETOWN LLC

POSITION: OWNER NATURE: OFFICE BUILDING OWNERSHIP AND RENTAL INVESTMENT RELATED: NO NUMBER OF HOURS: 1 INVESTMENT RELATED HOURS: 1 START DATE: 01/01/2006
ADDRESS: 1931 GEORGETOWN RD 100, HUDSON OH 44236
DESCRIPTION: OWNER OF OFFICE BUILDING IN HUDSON OHIO

EMJ LLC

POSITION: manger NATURE: to mangage a portion of the net worth of denton and maureen brooks , investing in stocks , bonds and mutual funds and real estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 1
START DATE: 01/01/2007
ADDRESS: 6056 nicholson dr, hudson OH 44236
DESCRIPTION: manager of family limited partnership trust for Denton and Maureen Brooks.

Business name: ClearCreek Financial Group, Business Address: 6187 Burr Oak Way, Hudson Ohio 44236, Position Held: Owner, Expected annual income: 150000, Compensation Type: Fee-based, Hours Per Month: 80, Hours Per Month Trading: 0, Involvement status: ACTIVE, Start: 1996-03-18, Activity description: Financial services, Investment Related?: YES, Will this activity interfere with or compromise your responsibilities as a registered representative?: NO, Is there an expectation to solicit other ownership or raise capital? : NO, Is there a web presence? : YES, Is there check-writing, trading authority/custody or control?: NO, Please list all non-securities licenses and/or certifications/professional designations that may apply to this activity (i.e. insurance, CPA, ChFC, etc.): insurance



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
Customer Dispute	2
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WASHINGTON SQUARE SECURITIES, INC.

Allegations: CLIENT PURCHASED AN ANNUITY IN MAY OF 2001 AND IS ALLEGING 7% LIVING BENEFIT OPTION SHOULD HAVE BEEN ADDED TO CONTRACT. ALLEGED DAMAGES ARE ESTIMATED TO EXCEED \$5,000.00.

Product Type: Annuity(ies) - Variable

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 11/10/2003

Complaint Pending? No

Status: Denied

Status Date: 11/12/2003

Settlement Amount:

Individual Contribution Amount:

Firm Statement INSURANCE COMPANY AFFILIATE FOUND NO EVIDENCE TO SUPPORT ALLEGATIONS AND DENIED CLAIM.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WASHINGTON SQUARE SECURITIES INC.

Allegations: PAPERWORK ERROR: ON 4/3/01 [CUSTOMER] SIGNED PAPERWORK TO INVEST IN THE GOLDEN SELECT PREMIUM PLUS ANNUITY W/UNDERSTANDING POLICY CARRIED 2 RIDERS: 7% LIVING BENEFIT & 7% SOLUTION DEATH BENEFIT. IN 2003 HE FOUND HE WASN'T RECVNG THE 7% LIVING BEN. IT WAS DISCOVERED THAT [OTHER FIRM EMPLOYEE], REG REP AND SALARIED EMPLOYE IN MY OFFICE HAD CORRECTLY CHECKED THE BOX TO ACTIVATE DB BUT NOT THE LB RIDER. A CLAIM HAS BEEN FILED WITH MY E&O CARRIER TO HAVE RIDER ADDED TO [CUSTOMER'S] POLICY. A CLIENT PURCHASED AN ANNUITY IN MAY OF 2001 AND IS ALLEGING THAT THE 7% LIVING BENEFIT OPTION SHOULD HAVE BEEN ADDED TO THE CONTRACT. THIS WAS A PAPERWORK ERROR IN WHICH A SALARIED EMPLOYEE, [OTHER FIRM EMPLOYEE], FOUND. INSTEAD OF CHECKING THE LIVING BENEFIT RIDER, THE DEATH BENEFIT RIDER WAS MARKED. THE ALLEGED DAMAGES WERE \$9,100.00. THE INSURANCE COMPANY AFFILIATE FOUND NO EVIDENCE TO SUPPORT THE ALLEGATION AND THEREFORE DENIED THE CLAIM. THERE IS NO ACTION PENDING

Product Type: Annuity(ies) - Variable

Other Product Type(s): GOLDEN SELECT PREMIUM PLUS (DEFERRED VARIABLE ANNUITY)

Alleged Damages: \$9,100.00

Customer Complaint Information

Date Complaint Received: 05/01/2003

Complaint Pending? No

Status: Denied

Status Date: 11/12/2003

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: THE HELP NETWORK, INC

Allegations: CUSTOMER ALLEGED THAT ON OR ABOUT 9/26/1996 PLAINTIFF WAS INDUCED TO TRANSFER THE FIRST FUNDS (\$11,453) WHICH ULTIMATELY WERE USED FOR THE PURCHASE OF UNSUITABLE INSURANCE PRODUCTS, OFFERED BY NORTHERN LIFE INSURANCE CO. RATHER THAN AS REPRESENTED TO BE FOR THE PURCHASE OF DIVERSIFIED CONSERVATIVE MUTUAL FUNDS SUITABLE FOR HER AGE. THEN AFTER ON OR ABOUT 10-4, 10-7, 12-13, 12-19 AND 12-30 - 1996. PLAINTIFF AS ALLEGEDLY FURTHER INDUCED TO TRANSFER ADDITIONAL FUNDS FROM THE SALE OF SECURITIES AND/OR ANNUITIES RESPECTIVELY TO NORTHERN LIFE.

Product Type: Annuity(ies) - Fixed



Alleged Damages: \$1,044,375.00

Customer Complaint Information

Date Complaint Received: 10/04/2000

Complaint Pending? No

Status: Litigation

Status Date: 10/04/2000

Settlement Amount:

Individual Contribution Amount: \$0.00

Civil Litigation Information

Court Details: CASE # GNO-02939
DISTRICT COURT OF TRAVIS COUNTY, TX

Date Notice/Process Served: 10/04/2000

Litigation Pending? No

Disposition: Settled

Disposition Date: 07/24/2002

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$0.00



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: ING FINANCIAL ADVISERS, LLC
Termination Type: Discharged
Termination Date: 09/18/2006
Allegations: PROMOTING AN UNAPPROVED PRODUCT
Product Type: Annuity(ies) - Variable
Other Product Types:

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Reporting Source: Individual
Firm Name: ING FINANCIAL ADVISORS
Termination Type: Discharged
Termination Date: 09/18/2006
Allegations: PROMOTING UNAPPROVED PRODUCTS
Product Type: Annuity(ies) - Variable
Other Product Types:



End of Report

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