User Guidance

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IAPD Report

ROBERT TRAVIS EVANS

CRD# 2724463

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

ROBERT TRAVIS EVANS (CRD# 2724463)

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 **04/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BROOKWOOD INVESTMENT GROUP	CRD# 316544	04/05/2025

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	REDWOOD PRIVATE WEALTH	312942	COLLEGE STATION, TX	11/17/2021 - 03/28/2025
IA	FOUNDATIONS INVESTMENT ADVISORS LLC	175083	COLLEGE STATION, TX	11/02/2018 - 11/16/2021
IA	BROOKSTONE CAPITAL MANAGEMENT LLC	141413	College Station, TX	01/31/2018 - 10/26/2018

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	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 **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	Texas	Investment Adviser Representative	Approved	04/05/2025

Branch Office Locations

BROOKWOOD INVESTMENT GROUP
CALDWELL, TX

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	03/26/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/04/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/26/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	11/17/2021 - 03/28/2025	REDWOOD PRIVATE WEALTH	CRD# 312942	COLLEGE STATION, TX
IA	11/02/2018 - 11/16/2021	FOUNDATIONS INVESTMENT ADVISORS LLC	CRD# 175083	COLLEGE STATION, TX
IA	01/31/2018 - 10/26/2018	BROOKSTONE CAPITAL MANAGEMENT LLC	CRD# 141413	College Station, TX
IA	05/28/2015 - 01/23/2018	VIRTUE CAPITAL MANAGEMENT, LLC	CRD# 167816	COLLEGE STATION, TX
IA	05/24/2013 - 05/15/2015	QUARTERMASTER WEALTH MANAGEMENT, LLC	CRD# 166807	COLLEGE STATION, TX
IA	05/17/2011 - 08/31/2012	HORTER INVESTMENT MANAGEMENT, LLC	CRD# 119880	COLLEGE STATION, TX
IA	10/21/2010 - 05/10/2011	REDHAWK WEALTH ADVISORS, INC.	CRD# 146616	COLLEGE STATION, TX
B	09/08/2000 - 01/20/2004	THE O.N. EQUITY SALES COMPANY	CRD# 2936	CINCINNATI, OH
B	07/08/1998 - 08/29/2000	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	03/25/1998 - 07/07/1998	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	10/01/1997 - 03/27/1998	THE O.N. EQUITY SALES COMPANY	CRD# 2936	CINCINNATI, OH
B	03/27/1996 - 09/17/1997	MIMLIC SALES CORPORATION	CRD# 15296	ST. PAUL, MN

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
04/2025 - Present	BROOKWOOD INVESTMENT GROUP	INVESTMENT ADVISOR REPRESENTATIVE	Y	PHOENIX, AZ, United States
11/2021 - Present	REDWOOD PRIVATE WEALTH	INVESTMENT ADVISOR REPRESENTATIVE	Y	PHOENIX, AZ, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2021 - Present	REDWOOD TAX SPECIALISTS	MANAGING DIRECTOR	Y	COLLEGE STATION, TX, United States
05/2016 - Present	NATIONAL GOLD CONSULTANTS	SALES REPRESENTATIVE	Y	COLLEGE STATION, TX, United States
08/1992 - Present	EVANS & EVANS	PARTNER/INSURANCE AGENT	Y	COLLEGE STATION, TX, United States
10/2018 - 11/2021	FOUNDATIONS INVESTMENT ADVISORS, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
01/2018 - 10/2018	Brookstone Capital Management	Investment Advisor Representative	Y	Wheaton, IL, United States
05/2015 - 01/2018	VIRTUE CAPITAL MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	NASHVILLE, TN, 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.

NAME: EVANS & EVANS DATES: 08/1992 - PRESENT ADDRESS: 6166 IMPERIAL LOOP, SUITE 17, COLLEGE STATION TX 77845 INVESTMENT RELATED POSITION: INSURANCE AGENT NATURE OF BUSINESS: LIFE INSURANCE AND ANNUITY PRODUCTS HOURS: APPROXIMATELY 25 HRS/WEEK NAME: REDWOOD TAX SPECIALISTS DATES: SINCE 02/2021 ADDRESS: COLLEGE STATION, TX INVESTMENT RELATED POSITION: MANAGING DIRECTOR NATURE OF BUSINESS: INSURANCE SALES HOURS: APPROXIMATELY 5 HRS/MONTH OUTSIDE TRADING HOURS NAME: NATIONAL GOLD CONSULTANTS DATES: SINCE 2016 ADDRESS: COLLEGE STATION, TX INVESTMENT RELATED: YES POSITION: SALES REP NATURE OF BUSINESS: PRECIOUS METAL WHOLESALE HOURS: APPROXIMATELY 5 HRS/MONTH OUTSIDE TRADING HOURS

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	1

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	UNDERTAKING & REPRIMAND
Date Initiated:	05/29/2001
Docket/Case Number:	SSB DKT NO. 01-16; ORDER NO. CEN-1429
Employing firm when activity occurred which led to the regulatory action:	WASHINGTON SQUARE SECURITIES
Product Type:	Other
Other Product Type(s):	INTEREST IN COIN-OPERATED CUSTOMER OWNED TELEPHONE PROGRAM
Allegations:	ROBERT TRAVIS EVANS OFFERED FOR SALE AND SOLD INTEREST IN A COIN-OPERATED CUSTOMER-OWNED TELEPHONE PROGRAM WHILE PREVIOUSLY REGISTERED WITH THE SECURITIES COMMISSIONER WITH WASHINGTON SQUARE SECURITIES, INC., BUT WITHOUT THEIR CONSENT OR APPROVAL AND WITHOUT THE INTEREST BEING REGISTERED AS A SECURITY WITH THE SECURITIES COMMISSIONER.
Current Status:	Final
Resolution:	Order
Resolution Date:	05/29/2001
Sanctions Ordered:	Monetary/Fine $8,400.00

Other Sanctions Ordered:	REPRIMAND & UNDERTAKING
Sanction Details:	EVANS REIMBURSED THE INVESTOR, DOUBLE THE AMOUNT EARNED IN COMMISSIONS FROM THE SALE OF THE TELEPHONE PROGRAM INTEREST.
Regulator Statement	ROBERT TRAVIS EVANS OFFERED FOR SALE AND SOLD INTEREST IN A COIN-OPERATED CUSTOMER-OWNED TELEPHONE PROGRAM WHILE PREVIOUSLY REGISTERED WITH THE SECURITIES COMMISSIONER WITH WASHINGTON SQUARE SECURITIES, INC., BUT WITHOUT THEIR CONSENT OR APPROVAL AND WITHOUT THE INTEREST BEING REGISTERED AS A SECURITY WITH THE SECURITIES COMMISSIONER. EVANS ALSO FAILED TO AMEND HIS U-4 WITHIN 30 DAYS, TO DISCLOSE THIS OUTSIDE BUSINESS ACTIVITY AND EMPLOYMENT. AS WELL, EVANS FAILED TO DISCLOSE HIS PAST EMPLOYMENT ON HIS AGENT APPLICATION WITH O.N. EQUITY SALES CORPORATION.

Reporting Source:	Individual
Regulatory Action Initiated By:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	DISCIPLINARY ORDER REPRIMANDING AN AGENT
Date Initiated:	05/29/2001
Docket/Case Number:	01-16
Employing firm when activity occurred which led to the regulatory action:	WASHINGTON SQUARE SECURITIES
Product Type:	Other
Other Product Type(s):	C.O.C.O.T.
Allegations:	RESPONDENT SOLD INTERESTS IN A C.O.C.O.T. PROGRAM WITHOUT THE CONSENT OF BROKER-DEALER. C.O.C.O.T.S ARE A SECURITY, BUT WERE NOT REGISTERED WITH THE SECURITIES COMMISSIONER. RESONDENT WAS NOT REGISTERED AS A DEALER, AND DID NOT AMEND HIS FORM U-4 APPLICATION AS TO THIS OUTSIDE BUSINESS ACITIVITY. RESPONDENT COOPERATED WITH THE ENFORCEMENT DIVISION IN ITS INVESTIGATION OF THIS MATTER, AND RESPONDENT REIMBURSED THE INVESTOR, DOUBLE THE AMOUNT EARNED IN COMMISSIONS FROM THE SALE OF THIS SECURITY.
Current Status:	Final
Resolution:	Order
Resolution Date:	05/29/2001
Sanctions Ordered:	Monetary/Fine $8,400.00
Other Sanctions Ordered:	RESPONDENT AGREES TO COORPERATE WITH ANY INVESTIGATION RELATING TO C.O.C.T.S. RESPONDENT AGREES NOT TO ENGAGE IN ANY BUSINESS ACTIVITY WITHOUT BEING PROPERLY REGISTERED, NOR WITHOUT RECEIVING WRITTEN APPROVAL FROM HIS BORKER-DEALER. RESPONDENT AGREES TO FILE AMENDED U-4 FORM.
Sanction Details:	RESPONDENT REIMBURSED THE INVESTOR DOUBLE THE AMOUNT

EARNED IN COMMISSIONS FROM THE SALE OF THIS SECURITY. THE REIMBURSEMENT WAS MADE IN APRIL OF 2001.

End of Report

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