IAPD Report

ANDREW MICHAEL BROOKMAN

CRD# 3166671

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

[User Guidance](#)

[www.adviserinfo.sec.gov](#)

Report Summary

ANDREW MICHAEL BROOKMAN (CRD# 3166671)

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 **07/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AEGIS CAPITAL CORP.	CRD# 15007	03/18/2022
IA	AEGIS CAPITAL CORP.	CRD# 15007	03/18/2022

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **2** 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	LPL FINANCIAL LLC	6413	STAMFORD, CT	06/25/2021 - 04/18/2022
B	LPL FINANCIAL LLC	6413	STAMFORD, CT	05/23/2019 - 04/18/2022
B	OPPENHEIMER & CO. INC.	249	STAMFORD, CT	05/03/2013 - 05/31/2019

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	4

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 **2** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**

Main Address: 1345 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10105

Firm ID#: 15007

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/18/2022
B	FINRA	Investment Banking Representative	Approved	03/18/2022
B	FINRA	Operations Professional	Approved	03/18/2022
B	FINRA	Securities Trader	Approved	03/18/2022
B	NYSE Arca, Inc.	General Securities Representative	Approved	03/18/2022
B	NYSE Arca, Inc.	Securities Trader	Approved	03/18/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	03/18/2022
B	Nasdaq Stock Market	Securities Trader	Approved	03/18/2022
IA	Connecticut	Investment Adviser Representative	Approved	03/18/2022
B	Connecticut	Agent	Approved	03/21/2022
B	Texas	Agent	Approved	03/18/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	03/18/2022

Qualifications

Branch Office Locations

AEGIS CAPITAL CORP.
Greenwich, CT

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam (S55)	Series 55	04/29/2002
B	General Securities Representative Examination (S7)	Series 7	06/25/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/24/2021
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/20/1999

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	06/25/2021 - 04/18/2022	LPL FINANCIAL LLC	CRD# 6413	STAMFORD, CT
B	05/23/2019 - 04/18/2022	LPL FINANCIAL LLC	CRD# 6413	STAMFORD, CT
B	05/03/2013 - 05/31/2019	OPPENHEIMER & CO. INC.	CRD# 249	STAMFORD, CT
B	01/26/2004 - 05/03/2013	BRILL SECURITIES, INC.	CRD# 18565	NEW YORK, NY
B	04/30/2003 - 12/03/2003	THE JEFFREY MATTHEWS FINANCIAL GROUP, L.L.C.	CRD# 41282	FLORHAM PARK, NJ
B	04/22/2002 - 09/09/2002	MOMENTUM SECURITIES, L.L.C.	CRD# 39293	NEW YORK, NY
B	06/01/2001 - 03/13/2002	EMBARCADERO SECURITIES, LLC	CRD# 47588	NEW YORK, NY
B	07/08/1999 - 06/19/2001	ABN AMRO SECURITIES LLC	CRD# 6540	NEW YORK, NY

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
03/2022 - Present	Aegis Capital Corp	Registered Representative	Y	Westport, CT, United States
05/2019 - 03/2022	LPL Financial LLC	REGISTERED REPRESENTATIVE	Y	STAMFORD, CT, United States
05/2013 - 05/2019	OPPENHEIMER & CO. INC.	REGISTERED REPRESENTATIVE	Y	STAMFORD, CT, 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.

1) 07/26/2021 - Alpha Strategic Advisors - Investment Related - At Reported Business Location(s) - DBA; Securities Offered Through Aegis Capital Corp - Start Date: 06/29/2021 - 200 Hours Per Month/5 Hours During Securities Trading.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

2) JAKAMB LLC, 900 Pacific St., Apt. 714 Stamford, CT 06902; Investment Related; Owner, Entity established for tax purpose; Start date: March 2020; 5 hours per month devoted to business; 0 hours during securities 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
Customer Dispute	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LPL Financial LLC
Allegations:	Claimant alleges that during the time period April 2021 to April 2022, Representative failed to diversify her portfolio, which caused risk that was inconsistent with her investment objectives and risk tolerance.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Cannot be determined but over $5,000
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	23-01871
Filing date of arbitration/CFTC reparation or civil litigation:	06/29/2023

Customer Complaint Information

Date Complaint Received:	06/30/2023
Complaint Pending?	No
Status:	Settled
Status Date:	07/08/2024
Settlement Amount:	$50,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Claimant alleges that during the time period April 2021 to April 2022, Representative failed to diversify her portfolio, which caused risk that was inconsistent with her investment objectives and risk tolerance.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Cannot be determined but over $5,000
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	23-01871
Filing date of arbitration/CFTC reparation or civil litigation:	06/29/2023

Customer Complaint Information

Date Complaint Received:	06/30/2023
Complaint Pending?	No
Status:	Settled
Status Date:	07/08/2024
Settlement Amount:	$50,000.00
Individual Contribution Amount:	$0.00
Broker Statement	I unequivocally deny any culpability or wrongdoing. It was settled by LPL without my involvement. I did not contribute financially towards the settlement.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AEGIS CAPITAL CORP.
Allegations:	Time frame: April 2022 -present. Claimant alleges unsuitable recommendations, breach of fiduciary duty, negligence.
Product Type:	No Product
Alleged Damages:	$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA; NY, NY
Docket/Case #:	23-00103
Filing date of arbitration/CFTC reparation or civil litigation:	01/11/2023

Customer Complaint Information

Date Complaint Received:	01/12/2023
Complaint Pending?	No
Status:	Withdrawn
Status Date:	02/01/2023
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LPL Financial LLC
Allegations:	Customers allege that between January 2021 and September 2021, representative recommended an investment strategy in certain equities that was inappropriate for the customers' investment objectives and risk tolerance.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Cannot be determined but over $5,000

Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	22-00490
Filing date of arbitration/CFTC reparation or civil litigation:	03/09/2022

Customer Complaint Information

Date Complaint Received:	03/09/2022
Complaint Pending?	No
Status:	Settled
Status Date:	07/18/2022
Settlement Amount:	$12,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL Financial LLC
Allegations:	Customers allege that between January 2021 and September 2021, representative recommended an investment strategy in certain equities that was inappropriate for the customers' investment objectives and risk tolerance.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Cannot be determined but over $5,000
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	22-00490
Filing date of arbitration/CFTC reparation or civil litigation:	03/09/2022

Customer Complaint Information

Date Complaint Received: 03/09/2022

Complaint Pending? No

Status: Settled

Status Date: 07/18/2022

Settlement Amount: $12,000.00

Individual Contribution Amount: $0.00

Broker Statement I unequivocally deny any culpability or wrongdoing. It was settled by LPL without my involvement. I did not contribute financially towards the settlement.

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Brill Securities Inc.

Allegations: Claimant alleges that respondent misrepresented the yield rate of a variable rate cd

Product Type: CD

Alleged Damages: $32,809.98

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 14-03657

Filing date of arbitration/CFTC reparation or civil litigation: 12/08/2014

Customer Complaint Information

Date Complaint Received: 12/22/2014

Complaint Pending? No

Status: Settled

Status Date: 05/04/2015

Settlement Amount: $21,000.00

Individual Contribution Amount: $2,500.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #:	14-03657
Date Notice/Process Served:	12/22/2014
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/04/2015
Monetary Compensation Amount:	$21,000.00
Individual Contribution Amount:	$2,500.00
Firm Statement	Respondents deny the Allegations in the Statement of claim. Mr.Brookman acted as the Manager of Fixed income. The claimant was Mr Brookman's client.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC./BRILL SECURITIES INC.
Allegations:	CLAIMANT WHO RECEIVED PROSPECTUS PRIOR TO TRANSACTION ALLEGES THAT RESPONDENTS MISREPRESENTED THE YIELD RATE OF A VARIBLE RATE CD DURING 05/2013 THROUGH 11/2014.Claimant alleges that respondent misrepresented the yield rate of a variable rate cd
Product Type:	CD
Alleged Damages:	$32,809.98
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	14-03657
Filing date of arbitration/CFTC reparation or civil litigation:	12/08/2014

Customer Complaint Information

Date Complaint Received:	12/22/2014
Complaint Pending?	No
Status:	Settled
Status Date:	05/04/2015
Settlement Amount:	$21,000.00
Individual Contribution Amount:	$2,500.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	14-03657
Date Notice/Process Served:	12/22/2014
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/04/2015
Monetary Compensation Amount:	$21,000.00
Individual Contribution Amount:	$2,500.00
Broker Statement	RESPONDENTS DENY THE ALLEGATIONS IN THE STATEMENT OF CLAIM. THE MATTER WAS SETTLED SOLELY TO AVOID THE COST AND EXPENSE OF LITIGATION. MR. BROOKMAN WAS A NAMED RESPONDENT IN THE ARBITRATION CLAIM, BASED ON THE SETTLEMENT AMOUNT, FINRA ADVISED OPPENHEIMER TO MARK 14I(5)(A) AS NO OTHER DISCLOSURE QUESTIONS WERE APPLICABLE. MR. BROOKMAN WAS NOT CONSULTED PRIOR TO BRILL SECURITIES ENGAGEMENT IN A SETTLEMENT. ALL TRADE ACTIVITY AND NEW ISSUE BOND BUSINESS WAS REVIEWED, MONTIORED AND SIGNED OFF BY PRINCIPALS OF THE FIRM.

End of Report

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