



IAPD Report

SCOTT STANLEY BROOKS

CRD# 3235252

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7

i 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

SCOTT STANLEY BROOKS (CRD# 3235252)

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 **04/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	08/16/2007
IA	NFSG CORPORATION	CRD# 130814	09/06/2007

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **33** 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
B	WEDBUSH MORGAN SECURITIES INC.	877	PASADENA, CA	06/20/2007 - 08/16/2007
IA	WEDBUSH MORGAN SECURITIES INC.	877	PASADENA, CA	06/20/2007 - 08/16/2007
IA	BROOKSTREET CAPITAL MANAGEMENT	14667	IRVINE, CA	01/19/2005 - 06/25/2007

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
Customer Dispute	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 **33** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **NEWBRIDGE SECURITIES CORPORATION**
Main Address: 1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432
Firm ID#: 104065

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	08/16/2007
B FINRA	General Securities Representative	Approved	08/16/2007
B Nasdaq Stock Market	General Securities Principal	Approved	09/13/2011
B Nasdaq Stock Market	General Securities Representative	Approved	09/13/2011
B Alabama	Agent	Approved	01/07/2025
B Arizona	Agent	Approved	04/09/2008
B Arkansas	Agent	Approved	04/01/2008
B California	Agent	Approved	08/16/2007
B Colorado	Agent	Approved	06/20/2008
B Connecticut	Agent	Approved	04/27/2026
B District of Columbia	Agent	Approved	01/16/2026
B Florida	Agent	Approved	08/30/2007
B Hawaii	Agent	Approved	03/28/2008



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	06/20/2008
B Illinois	Agent	Approved	06/20/2008
B Indiana	Agent	Approved	06/20/2008
B Louisiana	Agent	Approved	05/08/2008
B Maryland	Agent	Approved	05/27/2008
B Michigan	Agent	Approved	04/01/2008
B Minnesota	Agent	Approved	06/10/2008
B Missouri	Agent	Approved	03/28/2008
B Nevada	Agent	Approved	01/22/2021
B New Jersey	Agent	Approved	06/09/2008
B New Mexico	Agent	Approved	04/10/2008
B New York	Agent	Approved	03/24/2008
B North Carolina	Agent	Approved	06/24/2008
B Oklahoma	Agent	Approved	07/07/2021
B Oregon	Agent	Approved	05/08/2008
B Pennsylvania	Agent	Approved	06/20/2008
B South Carolina	Agent	Approved	02/04/2014
B South Dakota	Agent	Approved	01/13/2026
B Texas	Agent	Approved	03/26/2008



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	06/20/2008
B Virginia	Agent	Approved	06/09/2008
B Washington	Agent	Approved	05/02/2008
B Wisconsin	Agent	Approved	02/18/2026
B Wyoming	Agent	Approved	12/02/2025

Branch Office Locations

2753 CAMINO CAPISTRANO
BLDG B, 1ST FLOOR (B-1)
SAN CLEMENTE, CA 92672

Employment 2 of 2

Firm Name: **NFSG CORPORATION**
Main Address: 1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432
Firm ID#: 130814

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	09/06/2007
IA Louisiana	Investment Adviser Representative	Approved	01/08/2019
IA Texas	Investment Adviser Representative	Restricted Approval	01/07/2019

Branch Office Locations

NFSG CORPORATION
2753 CAMINO CAPISTRANO
BLDG B, 1ST FLOOR (B-1)
SAN CLEMENTE, CA 92672




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




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	02/27/2004

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/28/1999

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	01/18/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/29/1999

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
B	06/20/2007 - 08/16/2007	WEDBUSH MORGAN SECURITIES INC.	CRD# 877	PASADENA, CA
IA	06/20/2007 - 08/16/2007	WEDBUSH MORGAN SECURITIES INC.	CRD# 877	PASADENA, CA
IA	01/19/2005 - 06/25/2007	BROOKSTREET CAPITAL MANAGEMENT	CRD# 14667	IRVINE, CA
B	08/30/1999 - 06/25/2007	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	SAN JUAN CAPISTRANO, CA

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
08/2007 - Present	NEWBRIDGE SECURITIES CORPORATION	SENIOR FINANCIAL ADVISOR	Y	FT. LAUDERDALE, FL, 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)GOLD COAST FINANCIAL GROUP (DBA),2753 CAMINO CAPISTRANO, BLDG B, 1ST FLOOR (B-1), SAN CLEMENTE, CA, - SECURITIES,PARTNER WITH JULIE MAINS FOR SECURITIES BUSINESS,JUNE 2008,PROVIDE FINANCIAL SERVICE.
- 2) GOLD COAST WEALTH ADVISORS (DBA): ACTING AS A SOLICITOR IN RECOMMENDING CLIENTS TO CLARAPHI RIA, ADVISING CLIENTS ABOUT OUR FEE BASED MONEY MANAGEMENT OPTIONS.
- 3) GOLD COAST WEALTH MANAGEMENT (DBA): ACTING AS A SOLICITOR IN RECOMMENDING CLIENTS TO CLARAPHI RIA, ADVISING CLIENTS ABOUT OUR FEE BASED MONEY MANAGEMENT OPTIONS.
(THE ABOVE ARE SUB DIVISIONS OF THE CURRENTLY DISCLOSED GOLD COAST FINANCIAL GROUP)
- 4) SCOTT BROOKS- LANDLORD/RENTAL INCOME - RENT OUT MY CONDO IN ROSARITO, MEXICO,
- 5) DST (DEFERRED SALES TRUST) BY AND THROUGH GOLD COAST FINANCIAL GROUP: JULY 2016/AFFILIATE, ESTATE PLANNING TEAM REPRESENT AND MARKET FOR DEFERRED SALES TRUST 1-2 HOURS DURING/AFTER TRADING HOURS EXPLAINING THE STRATEGY AS POTENTIALLY SUITABLE FOR CERTAIN CLIENTS IN CERTAIN CIRCUMSTANCES.



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

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:	Individual
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION
Allegations:	BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE, NEGLIGENCE, MISREPRESENTATION, VIOLATION OF FEDERAL SECURITIES LAWS, AND VIOLATION OF REG BI.
Product Type:	Other: ALTERNATIVES - GWG
Alleged Damages:	\$150,000.00
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
Docket/Case #:	25-01680
Filing date of arbitration/CFTC reparation or civil litigation:	08/13/2025

Customer Complaint Information

Date Complaint Received:	08/14/2025
Complaint Pending?	Yes

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

The customer's complaint is directed solely at the firm Newbridge Securities, and not at the registered representative, Scott Brooks. The matter concerns a single alternative investment that performed successfully for approximately twelve years before market conditions and other factors outside the control of Newbridge resulted in bankruptcy. The associated \$150,000 loss represents approximately 1.3% of the customer's reported \$11.5 million net worth, well within the allocation guidelines established by the Firm and applicable law. At the time of the complaint, the customer continued to maintain a \$2.5 million portfolio with the firm, which overall has been profitable and has exceeded the customer's originally expected returns. The investment portfolio, including the specific product in question, was consistent with the customer's stated objectives and financial profile. The customer is highly sophisticated, conducts independent due diligence, has attended multiple educational seminars, and remains an active client of the firm. As disclosed in all offering materials and client communications, investing involves risk and there is no guarantee against loss. This complaint focuses on a single investment outcome without consideration of the broader performance and suitability of the portfolio as a whole.

Disclosure 2 of 2**Reporting Source:**

Regulator

Employing firm when activities occurred which led to the complaint:

BROOKSTREET SECURITIES CORPORATION,

Allegations:

NEGLIGENCE, BREACH OF FIDUCIARY DUTY, NEGLIGENT MISREPRESENTATION, UNJUST ENRICHMENT

Product Type:

Other

Other Product Type(s):

COLLATERALIZED MORTGAGE OBLIGATIONS

Alleged Damages:

\$690,000.00

Arbitration Information**Arbitration/Reparation Claim filed with and Docket/Case No.:**

NASD - CASE #07-01346

Date Notice/Process Served:

04/26/2007

Arbitration Pending?

No

Disposition:

Award

Disposition Date:

06/17/2008

Disposition Detail:

RESPONDENT SCOTT BROOKS IS FOUND LIABLE UNDER THE CAUSE OF ACTION OF SUITABILITY AND SHALL PAY TO CLAIMANTS COMPENSATORY DAMAGES OF \$1,000 WITH POST JUDGMENT INTEREST.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

BROOKSTREET SECURITIES CORP.



Allegations: FROM SEPTEMBER 2005 THROUGH APRIL 2007, CLAIMANTS ALLEGE UNSUITABILITY, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, NEGLIGENT MISREPRESENTATION, UNJUST ENRICHMENT, NEGLIGENT HIRING, TRAINING, SUPERVISION AND RETENTION.

Product Type: Other

Other Product Type(s): CMO'S

Alleged Damages: \$690,000.00

Customer Complaint Information

Date Complaint Received: 09/04/2007

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/04/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA ARBITRATION NO. 07-01346

Date Notice/Process Served: 09/04/2007

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/17/2008

Monetary Compensation Amount: \$523,300.00

Individual Contribution Amount: \$1,000.00

Broker Statement

MR. BROOKS WAS NAMED IN THE ARBITRATION SOLELY AS A "CONTROL PERSON" OF THE COMPANY. HIS POSITION DID NOT INCLUDE SUPERVISORY JURISDICTION OF REPS OR CLIENTS. HE DID NOT HAVE CONTROL OVER REPRESENTATIVES' INVESTMENT SUGGESTIONS NOR CLIENT SUITABILITY. THE CLAIMANTS' ATTORNEY FAILED TO DO PROPER DUE DILIGENCE IN THE INVESTIGATION. THE PANEL ELECTED A \$1,000 JUDGEMENT, REPRESENTING 1/10% OF THE TOTAL AWARD, AND A STATED CAUSE OF ACTION OF "SUITABILITY," WHICH IS INCOMPREHENSIBLE WITH RESPECT TO MR. BROOKS' RESPONSIBILITIES, YET TOO SMALL OF AN AMOUNT TO FILE A MOTION TO VACATE.



End of Report

This page is intentionally left blank.