



IAPD Report

BRENT WILLIAM BURGESSER

CRD# 3278147

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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

BRENT WILLIAM BURGESSER (CRD# 3278147)

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 **01/03/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
BROOKWOOD INVESTMENT GROUP	CRD# 316544	03/28/2025

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
BROOKWOOD INVESTMENT GROUP	316544	Spring Hill, TN	01/23/2023 - 01/03/2025
BELPOINTE ASSET MANAGEMENT LLC	143440	PHOENIX, AZ	08/11/2021 - 01/27/2023
INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	SUN LAKES, AZ	01/20/2016 - 06/21/2021

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
Termination	2
Judgment/Lien	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 Georgia	Investment Adviser Representative	Approved	03/28/2025

Branch Office Locations

BROOKWOOD INVESTMENT GROUP
ATLANTA, GA



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





Principal/Supervisory Exams

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

No information reported.



General Industry/Product Exams

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

 General Securities Representative Examination (S7TO)	Series 7TO	06/11/2024
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	07/21/2003
 General Securities Representative Examination (S7)	Series 7	12/23/1999

State Securities Law Exams

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

  Uniform Combined State Law Examination (S66)	Series 66	12/28/2000
---	-----------	------------

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	01/23/2023 - 01/03/2025	BROOKWOOD INVESTMENT GROUP	CRD# 316544	Spring Hill, TN
IA	08/11/2021 - 01/27/2023	BELPOINTE ASSET MANAGEMENT LLC	CRD# 143440	PHOENIX, AZ
IA	01/20/2016 - 06/21/2021	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	SUN LAKES, AZ
B	11/13/2015 - 06/21/2021	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	SUN LAKES, AZ
IA	12/04/2015 - 12/31/2015	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	CHANDLER, AZ
B	07/17/2012 - 12/09/2015	LPL FINANCIAL LLC	CRD# 6413	CHANDLER, AZ
IA	07/16/2012 - 12/09/2015	LPL FINANCIAL LLC	CRD# 6413	CHANDLER, AZ
B	10/31/2008 - 07/10/2012	WELLS FARGO ADVISORS, LLC	CRD# 19616	PLANO, TX
IA	10/31/2008 - 07/10/2012	WELLS FARGO ADVISORS, LLC	CRD# 19616	PLANO, TX
B	11/18/2005 - 11/05/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PLANO, TX
IA	11/18/2005 - 11/05/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PLANO, TX
IA	01/19/2005 - 11/22/2005	MORGAN STANLEY	CRD# 7556	PLANO, TX
B	06/26/2003 - 11/22/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
IA	01/30/2001 - 04/24/2004	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	PHOENIX, AZ
B	12/15/2000 - 04/24/2004	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	05/11/2000 - 01/29/2001	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ



Registration & Employment History

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
01/2023 - Present	BROOKWOOD INVESTMENT GROUP LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	PHOENIX, AZ, United States
02/2022 - Present	BROOKWOOD INSURANCE GROUP LLC	LICENSED INSURANCE PRODUCER	Y	PHOENIX, AZ, United States
06/2021 - 01/2023	BELPOINTE ASSET MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	Reno, NV, United States
11/2015 - 06/2021	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REP	Y	SUN LAKES, AZ, 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. BROOKWOOD INSURANCE GROUP; INVESTMENT RELATED; 3930 E. RAY ROAD, SUITE 155, PHOENIX AZ 85044; INSURANCE SALES; LIFE, HEALTH & FIXED ANNUITY SALES, INSURANCE PRODUCER SINCE 02/2022; APPROX 10 HOURS PER MONTH, SOME 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
Termination	2
Judgment/Lien	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	04/25/2016
Docket/Case Number:	2012033224601
Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Advisors, LLC
Product Type:	Mutual Fund
Allegations:	Without admitting or denying the findings, Burgesser consented to the sanctions and to the entry of findings that he effected unsuitable short-term switches of Class A mutual fund transactions in customer accounts, usually selling the investment after only approximately one and a half to three months, only to buy and sell another mutual fund. The findings stated that Burgesser also sold shares in a particular mutual fund only to later repurchase shares in the same fund for the same customers. Burgesser did so without having reasonable grounds for believing that such transactions were suitable for these customers in view of the nature, frequency, and size of the recommended transactions and in light of each customer's financial situation, investment objectives, risk tolerance and circumstances. Additionally, Burgesser only bought and sold Class A mutual funds in these accounts. These shares necessitated that each of the subject customers paid upfront sales charges, known as "front-end loads," for each of these trades. The collective amount of sales charges paid by these customers was at least



\$119,209. Burgesser did not discuss with these customers the different types of shares available for investment, or the sales charges and operating expenses associated with each shares class and their effect on potential returns. Burgesser also did not disclose cost-saving options that were available. During the approximately three years that Burgesser engaged in short-term mutual fund switch transactions, the customers collectively incurred approximately \$63,738 in losses due to Burgesser's unsuitable recommendations while generating approximately \$109,602 in commissions from these activities. Burgesser's member firm repaid the customers in full, and Burgesser later reimbursed the firm \$100,000 of the amount paid to the customers.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

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:

04/25/2016

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension
Other: Fine paid in full on May 10, 2016.

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: Any capacity
Duration: 60 days
Start Date: 05/16/2016
End Date: 07/14/2016

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current: Yes
Date Paid by individual: 05/10/2016
Was any portion of penalty waived? No

**Amount Waived:**
.....**Reporting Source:** Individual**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:****Date Initiated:** 04/25/2016**Docket/Case Number:** [2012033224601](#)**Employing firm when activity occurred which led to the regulatory action:** WELLS FARGO ADVISORS, LLC**Product Type:** Mutual Fund

Allegations: Without admitting or denying the findings, Burgesser consented to the sanctions and to the entry of findings that he effected unsuitable short-term switches of Class A mutual fund transactions in customer accounts, usually selling the investment after only approximately one and a half to three months, only to buy and sell another mutual fund. The findings stated that Burgesser also sold shares in a particular mutual fund only to later repurchase shares in the same fund for the same customers. Burgesser did so without having reasonable grounds for believing that such transactions were suitable for these customers in view of the nature, frequency, and size of the recommended transactions and in light of each customer's financial situation, investment objectives, risk tolerance and circumstances. Additionally, Burgesser only bought and sold Class A mutual funds in these accounts. These shares necessitated that each of the subject customers paid upfront sales charges, known as "front-end loads," for each of these trades. The collective amount of sales charges paid by these customers was at least \$119,209. Burgesser did not discuss with these customers the different types of shares available for investment, or the sales charges and operating expenses associated with each shares class and their effect on potential returns. Burgesser also did not disclose cost-saving options that were available. During the approximately three years that Burgesser engaged in short-term mutual fund switch transactions, the customers collectively incurred approximately \$63,738 in losses due to Burgesser's unsuitable recommendations while generating approximately \$109,602 in commissions from these Activities. Burgesser's member firm repaid the customers in full, and Burgesser later reimbursed the firm \$100,000 of the amount paid to the customers.

Current Status: Final**Resolution:** Acceptance, Waiver & Consent(AWC)**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:** 04/25/2016**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)
Suspension**Sanction 1 of 1**



Sanction Type: Suspension
Capacities Affected: ALL CAPACITIES
Duration: 60 DAYS
Start Date: 05/16/2016
End Date: 07/14/2016

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

While at the previous broker dealer Burgesser was consistently recognized by senior management and rewarded for his performance. Each and every trade of the alleged unsuitable activity was reviewed by management and approved by a member of the senior management team and compliance. Never were any of the alleged trades not approved or reversed in any capacity. Each of the clients involved with the alleged activity still retain Mr. Burgesser as their only Financial Advisor to this day.



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 2

Reporting Source: Firm
Firm Name: Belpointe Asset Management, LLC
Termination Type: Permitted to Resign
Termination Date: 12/28/2022
Allegations: Mr. Burgesser was under a heightened supervision agreement and was unable to abide by policies and procedures of the Firm and was subject to multiple warnings and sanctions before being permitted to resign.
Product Type: No Product

Disclosure 2 of 2

Reporting Source: Firm
Firm Name: WELLS FARGO ADVISORS, LLC
Termination Type: Discharged
Termination Date: 06/12/2012
Allegations: ALLEGATIONS RELATED TO FINANCIAL ADVISOR'S RECOMMENDATIONS TO CLIENTS TO PURCHASE AND SELL MUTUAL FUND A SHARES AND SYNDICATES.
Product Type: Mutual Fund
Other: SYNDICATES

Reporting Source: Individual
Firm Name: WELLS FARGO
Termination Type: Discharged
Termination Date: 06/12/2012
Allegations: MADE RECOMMENDATIONS TO CLIENTS, WHICH WERE SUBSEQUENTLY ACTED UPON, THAT WERE INCONSISTENT WITH FIRM POLICIES RELATING TO MUTUAL FUND A SHARES AND SYNDICATES.
Product Type: Mutual Fund



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	AMERICAN EXPRESS NATIONAL BANK
Judgment/Lien Amount:	\$37,900.32
Judgment/Lien Type:	Civil
Date Filed with Court:	01/14/2020
Date Individual Learned:	12/29/2021
Type of Court:	State Court
Name of Court:	SUPERIOR COURT OF MARICOPA COUNTY
Location of Court:	MARICOPA COUNTY ARIZONA
Docket/Case #:	CV2019-000438
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	INTOUCH CREDIT UNION
Judgment/Lien Amount:	\$37,917.61
Judgment/Lien Type:	Civil
Date Filed with Court:	05/20/2020
Date Individual Learned:	08/17/2020
Type of Court:	State Court
Name of Court:	MARICOPA COUNTY SUPERIOR COURT
Location of Court:	MARICOPA COUNTY, ARIZONA
Docket/Case #:	CV2019-093933
Judgment/Lien Outstanding?	Yes



End of Report

This page is intentionally left blank.