



## IAPD Report

# JEREMY DAVID BRYANT

CRD# 4697525

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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

### JEREMY DAVID BRYANT (CRD# 4697525)

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 **04/07/2025**.

### CURRENT EMPLOYERS

Firm	CRD#	Registered Since
BROOKWOOD INVESTMENT GROUP	CRD# 316544	04/07/2025

### 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
REDWOOD PRIVATE WEALTH	312942	CHINA GROVE, NC	06/16/2022 - 03/31/2025
PROSPERITY CAPITAL ADVISORS	156480	CHINA GROVE, NC	08/29/2018 - 06/16/2022
REGAL INVESTMENT ADVISORS LLC	125004	CHARLOTTE, NC	01/02/2015 - 08/31/2018

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
Judgment/Lien	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
	North Carolina	Investment Adviser Representative	Approved	04/07/2025

#### Branch Office Locations

**BROOKWOOD INVESTMENT GROUP**  
China Grove, NC



## 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, 0 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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No information reported.

#### State Securities Law Exams

Exam	Category	Date
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	Uniform Combined State Law Examination (S66)	Series 66	01/22/2011
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### 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	06/16/2022 - 03/31/2025	REDWOOD PRIVATE WEALTH	CRD# 312942	CHINA GROVE, NC
IA	08/29/2018 - 06/16/2022	PROSPERITY CAPITAL ADVISORS	CRD# 156480	CHINA GROVE, NC
IA	01/02/2015 - 08/31/2018	REGAL INVESTMENT ADVISORS LLC	CRD# 125004	CHARLOTTE, NC
IA	08/06/2014 - 12/31/2014	BRIGHT OWL INVESTMENT ADVISORS	CRD# 168851	CHARLOTTE, NC
IA	12/19/2011 - 07/18/2014	REDHAWK WEALTH ADVISORS, INC.	CRD# 146616	CHARLOTTE, NC

### 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
06/2022 - Present	REDWOOD PRIVATE WEALTH LLC	COO & INVESTMENT ADVISOR REPRESENTATIVE	Y	PHOENIX, AZ, United States
03/2022 - Present	REDWOOD TAX SPECIALISTS	MANAGING DIRECTOR	Y	CHINA GROVE, NC, United States
06/2010 - Present	BREESE FINANCIAL GROUP LLC	OWNER / INSURANCE PRODUCER	Y	CHINA GROVE, NC, United States
06/2011 - 11/2022	AMERICAN FINANCIAL EDUCATION ALLIANCE	COO/MEMBER	N	CHARLOTTE, NC, United States
08/2018 - 06/2022	PROSPERITY CAPITAL ADVISORS	INVESTMENT ADVISER REPRESENTATIVE	Y	Westlake, OH, United States
01/2011 - 08/2021	LEGACY FIRST FINANCIAL	VICE PRESIDENT SALES	N	CHARLOTTE, NC, United States
01/2015 - 08/2018	REGAL INVESTMENT ADVISORS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	KENTWOOD, MI, 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.

1). COMPANY: BREESE FINANCIAL GROUP, LLC  
INVESTMENT RELATED; YES  
ADDRESS: 210 DEAL ESTATE DRIVE, CHINA GROVE, NC 28023  
NATURE OF BUSINESS: INSURANCE SALES / MARKETING  
POSITION: PRESIDENT / INSURANCE PRODUCER  
DATES: 06/2010  
HOURS: 20-25 HRS/WEEK; HOURS DURING TRADING; 10

2). COMPANY: REDWOOD TAX SPECIALISTS  
INVESTMENT RELATED; YES  
ADDRESS: 210 DEAL ESTATE DRIVE, CHINA GROVE, NC 28023  
NATURE OF BUSINESS: INSURANCE SALES  
DATES: 03/2022  
POSITION: MANAGING DIRECTOR  
DUTIES: SALE OF LIFE, HEALTH & FIXED INSURANCE PRODUCTS  
HOURS PER WEEK: 5; HOURS DURING TRADING: 5

3). COMPANY; LEGAL SHIELD  
INVESTMENT RELATED: NO  
ADDRESS: 210 DEAL ESTATE DRIVE, CHINA GROVE, NC 28023  
NATURE OF BUSINESS: AN ONLINE LEGAL SERVICE THAT PROVIDES AFFORDABLE LEGAL COVERAGE FOR SMALL BUSINESS AND INDIVIDUALS.  
POSITION: SALES REPRESENTATIVE  
START DATE: 08/2018  
HOURS: 20 HRS/WEEK

4). COMPANY; EP DOCUMENTS  
INVESTMENT RELATED: NO  
ADDRESS: 210 DEAL ESTATE DRIVE, CHINA GROVE, NC 28023  
NATURE OF BUSINESS: AN ONLINE SERVICE PROVIDES AFFORDABLE ESTATE PLANNING DOCUMENTS.  
POSITION: SALES REPRESENTATIVE  
START DATE: 12/2022  
HOURS: 5 HRS/WEEK



## 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
Judgment/Lien	1

### Judgment/Lien

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

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	WELLS FARGO BANK
<b>Judgment/Lien Amount:</b>	\$163,000.00
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed:</b>	10/13/2010
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	GENERAL COURT OF JUSTICE SUPERIOR COURT
<b>Location of Court:</b>	ROWAN COUNTY, NORTH CAROLINA
<b>Docket/Case #:</b>	10-CVS-2917
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	<p>IN 2006 I PURCHASED AN INVESTMENT PROPERTY IN GEORGETOWN, SC WITH A BALLOON PAYMENT MORTGAGE, PLANNING ON SELLING IN LESS THAN 3 YRS. WHEN THE BALLOON CAME DUE THE PROPERTY COULDN'T BE SOLD AS IT WAS ONLY WORTH 1/10TH OF WHAT I PURCHASED IT FOR. I TRIED TO GET A RE-MODIFICATION ON THE LOAN BUT THE MORTGAGE CO. DIDN'T WANT TO BECAUSE OF THE SEVERE REDUCTION ON PROPERTY VALUE (AT LEAST NOT WITHOUT A 90% PAYDOWN ON THE OUTSTANDING BALANCE, WHICH I DIDN'T HAVE). WHEN THEY SUBSEQUENTLY ASKED FOR THE PAYMENT IN FULL I DIDN'T HAVE THAT EITHER SO NOW THE MORTGAGE CO HAS PUT A JUDGMENT AGAINST ME FOR VALUE OF THE LOAN. I HAVE BEEN IN CONTACT WITH THEM RECENTLY TRYING TO WORK OUT A PAYMENT ARRANGEMENT AND THEY ARE STILL STICKING TO A PAYMENT IN FULL. I DO NOT HAVE THE ABILITY TO MAKE THE PAYMENT IN FULL HOWEVER I AM STILL CONTACTING TO SEE IF THEY WILL LISTEN TO REASON AND ALLOW SOME KIND OF PAYMENT PLAN THAT IS AFFORDABLE. THE EXTENT OF THE OUTSTANDING JUDGMENT/LIEN ON MY CREDIT REPORT IS DUE TO THIS ONE PROPERTY. I REGRETTABLY</p>



KNOW THAT THIS LEAN CAN AND WILL AFFECT THE CHOICE OF SOME INSURANCE COMPANIES TO APPOINTMENT ME, HOWEVER I HOPE THAT YOU VIEW THIS NOT AS A DETERMINE FACTOR, AS I TYPICALLY HAVE BEEN ON TIME WITH ALL OF MY OTHER OBLIGATIONS AND EVEN WITH THE LIEN MY CREDIT SCORE IS STILL IN DECENT STANDING. I MADE ALL OF THE MORTGAGE PAYMENTS ON THE INVESTMENT PROPERTY ON TIME, AND IF THE MORTGAGE COMPANY WOULD HAVE WORKED TO RE-MODIFY THE LOAN WHEN IT CAME DUE I COULD HAVE KEPT THE PAYMENTS UP, HOWEVER, AGAIN THEY REFUSED TO DO SO WITHOUT A LARGE DOWN PAYMENT WHICH I DO NOT HAVE.



## End of Report

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