



IAPD Report

BRENT ROBERT BROADDUS

CRD# 4875940

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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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

BRENT ROBERT BROADDUS (CRD# 4875940)

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 **11/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WIN TEAM ADVISORY SERVICES	CRD# 136680	09/09/2009
B	J.W. COLE FINANCIAL, INC.	CRD# 124583	11/04/2019
IA	J. W. COLE ADVISORS, INC.	CRD# 112294	11/05/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	FIRST ALLIED ADVISORY SERVICES, INC.	137888	Irvine, CA	07/02/2012 - 11/04/2019
B	FIRST ALLIED SECURITIES, INC.	32444	IRVINE, CA	09/03/2009 - 11/04/2019
IA	FIRST ALLIED SECURITIES, INC.	32444	IRVINE, CA	11/20/2009 - 07/02/2012

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	3



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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **J.W. COLE FINANCIAL, INC.**
Main Address: 4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634
Firm ID#: 124583

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	11/04/2019
B Arizona	Agent	Approved	11/04/2019
B California	Agent	Approved	11/04/2019
B North Carolina	Agent	Approved	02/15/2024
B Oregon	Agent	Approved	08/11/2021
B Tennessee	Agent	Approved	02/13/2024
B Texas	Agent	Approved	11/04/2019
B Washington	Agent	Approved	01/05/2021

Branch Office Locations

560 WALD
IRVINE, CA 92618

Employment 2 of 3

Firm Name: **J. W. COLE ADVISORS, INC.**
Main Address: 4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634



Qualifications

Firm ID#: 112294

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	11/05/2019

Branch Office Locations

J. W. COLE ADVISORS, INC.
560 WALD
IRVINE, CA 92618

Employment 3 of 3

Firm Name: **WIN TEAM ADVISORY SERVICES**
Main Address: 560 WALD
IRVINE, CA 92618
Firm ID#: 136680

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	09/09/2009

Branch Office Locations

WIN TEAM ADVISORY SERVICES
560 WALD
IRVINE, CA 92618



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, 2 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	12/27/2004
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/30/2004
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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	07/02/2012 - 11/04/2019	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	Irvine, CA
B	09/03/2009 - 11/04/2019	FIRST ALLIED SECURITIES, INC.	CRD# 32444	IRVINE, CA
IA	11/20/2009 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	IRVINE, CA
IA	06/19/2009 - 10/07/2009	OLMSTED ADVISORS, INC.	CRD# 137159	NEWPORT BEACH, CA
B	08/29/2007 - 09/04/2009	CAPITAL GROWTH RESOURCES	CRD# 7779	NEWPORT BEACH, CA
IA	01/04/2008 - 12/31/2008	OLMSTED ADVISORS, INC.	CRD# 137159	NEWPORT BEACH, CA
IA	10/08/2007 - 12/31/2007	OLMSTED ADVISORS, INC.	CRD# 137159	NEWPORT BEACH, CA
B	01/01/2005 - 08/28/2007	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	IRVINE, CA
IA	01/01/2005 - 08/28/2007	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	IRVINE, CA
B	01/01/2005 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, 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
02/2024 - Present	Sandbaggers Golf Club	President/Handicap Chairman	N	Sherman Oaks, CA, United States
07/2022 - Present	Alpine Star Wealth Management	President/Owner	N	Irvine, CA, United States
11/2019 - Present	J.W. COLE ADVISORS, INC	Investment Advisor Representative	Y	TAMPA, FL, United States
11/2019 - Present	JW Cole Financial	Registered Representative	Y	Tampa, FL, United States
09/2009 - Present	Brent Broaddus, Sole Proprietor	Insurance Agent	Y	Irvine, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2009 - Present	WIN TEAM INSURANCE SERVICES, INC. dba WIN Team Advisory Services	Investment Advisor Representative	Y	LAKE FOREST, CA, United States
05/2008 - Present	Aloha Bliss	Owner	N	Costa Mesa, CA, United States
11/2009 - 11/2019	First Allied Securities, Inc.	INVESTMENT ADVISOR REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
09/2009 - 11/2019	FIRST ALLIED SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, 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) ALOHA BLISS; NOT INVESTMENT RELATED; 1984 FEDERAL AVE, COSTA MESA, CA 92627; HAWAIIAN MERCHANDISER SALES; CO OWNER; 05/01/2008; 20-40 HOURS PER MONTH; 0 HOURS DEVOTED DURING TRADING HOURS; SETUP/BREAKDOWN AT FESTIVALS/SALES.
- (2) BROADDUS FAMILY TRUST; NOT INVESTMENT RELATED; 1984 FEDERAL AVE, COSTA MESA, CA 92627; TRUSTEE; TRUSTEE; 09/01/2007. 2 HOURS PER MONTH DEVOTED; 1 HOUR PER MONTH DEVOTED DURING TRADING HOURS.
- (3) WIN-TEAM ADVISORY SERVICES/INSURANCE SERVICES; INVESTMENT RELATED; 560 WALD, IRVINE, CA 92618; INVESTMENTS/INSURANCE; FINANCIAL ADVISOR; 10/27/08; 80/160 HOURS PER MONTH DEVOTED; 80/160 HOURS DEVOTED PER MONTH DURING TRADING HOURS; INVESTMENTS/ACCOUNT MGMT/CLIENT SERVICES.
- (4) ALPINESTAR WEALTH MANAGEMENT; PAYROLL/401(K)/NQDC PLAN; NON-INVESTMENT RELATED; 560 WALD, IRVINE, CA 92618; PRESIDENT/OWNER; 07/01/2022 0 HOURS DEVOTED PER MONTH DURING TRADING HOURS
- (5) Sandbaggers Golf Club; Non-investment related; Management of monthly golf club; President/Handicap Chairman; Management and operation of monthly golf club, Will have access and control of bank account to handle member tournament dues, and disclosure tournament winnings; Start 2/1/24; 0 hours during trading.
- (6) J.W. Cole Financial, Inc.; Tampa, FL; Investment Related; Registered Representative; Started 11/2019; Broker/Dealer Product Sales and Supervision; 10% of time spent.
- (7) J.W. Cole Advisors, Inc.; Tampa, FL; Investment Related; Investment Advisor Representative; Started 11/2019; Investment Advisory Services; 50% of time spent.
- (8) Brent Broaddus, Sole Proprietor; Irvine, CA; Investment Related; Insurance Agent; Fixed Insurance Sales; Started 09/2009; Approximately 1% of time spent.
- (9) POA, Trustee and Executor for Christine Broaddus



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	First Allied Securities, Inc.
Allegations:	Clients express dissatisfaction with advisor's management of their variable annuity subaccounts from 2013 to present.
Product Type:	Annuity-Variable
Alleged Damages:	\$154,052.43
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/20/2019
Complaint Pending?	No
Status:	Settled
Status Date:	05/13/2019
Settlement Amount:	\$154,052.43
Individual Contribution Amount:	\$26,837.61

**Disclosure 2 of 3**

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	First Allied Securities Inc.
Allegations:	Clients alleges that advisory fee billing negated a variable annuity rider from 2013 to present.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Firm believed damages would exceed \$5,000.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/24/2018
Complaint Pending?	No
Status:	Settled
Status Date:	01/16/2019
Settlement Amount:	\$52,574.13
Individual Contribution Amount:	\$10,000.00

Broker Statement This settlement action was taken when it was discovered that asset management fees charged directly to Jackson accounts utilizing the "Lifeguard Freedom Flex" rider stopped the 7% annual accrual and step-up from occurring in the "protected" account balance.

Once the issue was discovered, clients were quickly informed as to what happened, fees were immediately stopped from being billed directly to the accounts, and settlements were offered to make the clients "whole", (i.e., give them the balance of what they should have received in addition to what they actually received).

There was never any obfuscation or cover-up of the issue, clients were immediately and fully informed and apologized to, and corrective action was taken to ensure this does not happen again.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CAPITAL GROWTH RESOURCES, INC.
Allegations:	CLAIMANTS ALLEGE: 1) FRAUD; 2) BREACH OF FIDUCIARY DUTY; 3) NEGLIGENCE; 4) NEGLIGENT MISREPRESENTATION; 5) VIOLATION ON CALIFORNIA UNFAIR COMPETITION LAW; 6) UNJUST ENRICHMENT; 7)



MONEY LENT; 8) MONEY HAD AND RECEIVED; AND 9) CONVERSION FROM 2008 TO PRESENT.

Product Type: Insurance
Promissory Note

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 12/14/2012

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 01/08/2013

Settlement Amount:

**Individual Contribution
Amount:**

Civil Litigation Information

Type of Court: State Court

Name of Court: SUPERIOR CT OF STATE OF CA

Location of Court: LOS ANGELES, CA

Docket/Case #: BC 498066

Date Notice/Process Served: 01/28/2013

Litigation Pending? No

Disposition: Settled

Disposition Date: 01/29/2015

**Monetary Compensation
Amount:** \$21,000.00

**Individual Contribution
Amount:** \$21,000.00

Broker Statement

I STRENUOUSLY OBJECT TO BEING NAMED IN THIS COMPLAINT. I WAS MERELY THE SERVICING BROKER ON THE CLIENT'S UNRELATED BROKERAGE ACCOUNT, AND WAS NOT INVOLVED IN THE SALE, COMMISSION, WORKING, OR INVESTING OF THE CLA NOTE OFFERED BY CAPITAL GROWTH PLANNING THAT HAS NOT BEEN PAID OUT TO THE CLIENT. I ONLY AGREED TO SETTLE ON THIS CASE BECAUSE OF THE ENORMOUS LEGAL COSTS INVOLVED, I SPECIFICALLY ADMITTED NO GUILT OR WRONGDOING, IN FACT, A GOOD PORTION OF THE SETTLEMENT AMOUNT WILL BE RETURNED TO ME ONCE THE CLA NOTE HAS BEEN PAID OFF.



End of Report

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