



IAPD Report

FRANK CHARLES STAMA

CRD# 4956271

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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

FRANK CHARLES STAMA (CRD# 4956271)

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
IA	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
IA	REDWOOD PRIVATE WEALTH	312942	AMHERST, NH	08/25/2022 - 03/31/2025
IA	MKT INVESTMENTS, LLC	298252	BEDFORD, NH	11/13/2018 - 10/18/2022
IA	COPPELL ADVISORY SOLUTIONS LLC	156549	Bedford, NH	11/18/2021 - 08/11/2022

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



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
	New Hampshire	Investment Adviser Representative	Approved	04/07/2025

Branch Office Locations

BROOKWOOD INVESTMENT GROUP
Amherst, NH



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, 1 general industry/product exam, 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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B General Securities Representative Examination (S7)	Series 7	10/10/2006
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	11/01/2006
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	08/25/2022 - 03/31/2025	REDWOOD PRIVATE WEALTH	CRD# 312942	AMHERST, NH
IA	11/13/2018 - 10/18/2022	MKT INVESTMENTS, LLC	CRD# 298252	BEDFORD, NH
IA	11/18/2021 - 08/11/2022	COPPELL ADVISORY SOLUTIONS LLC	CRD# 156549	Bedford, NH
IA	04/18/2013 - 04/24/2019	NORTHEASTERN WEALTH MANAGEMENT, LLC	CRD# 167101	BEDFORD, NH
B	04/05/2011 - 04/24/2013	SII INVESTMENTS, INC.	CRD# 2225	BEDFORD, NH
IA	04/01/2011 - 04/24/2013	SII INVESTMENTS, INC.	CRD# 2225	BEDFORD, NH
B	12/12/2007 - 04/13/2011	WADDELL & REED, INC.	CRD# 866	BEDFORD, NH
IA	12/12/2007 - 04/13/2011	WADDELL & REED, INC.	CRD# 866	BEDFORD, NH
IA	11/09/2006 - 12/04/2007	PARK AVENUE SECURITIES LLC	CRD# 46173	BEDFORD, NH
B	10/11/2006 - 12/04/2007	PARK AVENUE SECURITIES LLC	CRD# 46173	BEDFORD, NH

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 INVESMENT GROUP	INVESTMENT ADVISOR REPRESENTATIVE	Y	PHOENIX, AZ, United States
08/2022 - Present	REDWOOD PRIVATE WEALTH LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	PHOENIX, AZ, United States
12/2019 - Present	REDWOOD TAX SPECIALISTS LLC	MANAGING DIRECTOR	Y	BEDFORD, NH, United States
07/2010 - Present	MKT CONSULTING	PRINCIPAL	N	AMHERST, NH, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2018 - 10/2022	MKT INVESTMENTS, LLC	MANAGING MEMBER/IAR	Y	BEDFORD, NH, United States
11/2021 - 08/2022	COPPELL ADVISORY SOLUTIONS, DBA FUSION CAPITAL MANAGEMENT	IAR	Y	DALLAS, TX, United States
03/2013 - 08/2018	NORTHEASTERN WEALTH MANAGEMENT LLC	OWNER	Y	BEDFORD, NH, 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) MKT CONSULTING - NON-INVESTMENT RELATED; 9 THISTLE DRIVE, AMHERST, NH OWNER/SOLE-PROPRIETOR INVOLVED WITH BUSINESS MANAGEMENT CONSULTING INCLUDING PROFIT IMPROVEMENT, SUPPLY CHAIN, TECHNOLOGY INTEGRATION AND CLIENT DEVELOPMENT; APPROX 10 HOURS PER MONTH; HOURS DURING TRADING: 0
- 2) LICENSED INSURANCE AGENT; INVESTMENT RELATED; 264 SOUTH RIVER ROAD, SUITE 520 BEDFORD NH ; HEATH, LIFE & FIXED INSURANCE SALES; SPENDS APPROXIMATELY 80 HOURS A MONTH.
- 3) REDWOOD TAX SPECIALIST; INVESTMENT RELATED; MANAGING DIRECTOR; SPENDS APPROXIMATELY 12 HOURS PER MONTH; REFERS CLIENTS.



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

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:	New Hampshire
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Restitution Other: Costs
Date Initiated:	05/22/2020
Docket/Case Number:	COM2017-0003
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	MKT Investments, LLC
Product Type:	Other: I/L ETFs
Allegations:	Stama purchased inverse and leveraged ETFs for his customer accounts and held them beyond the recommended period causing losses. Stama exercised discretion for his customer accounts without written approval and failed to maintain customer advisory contracts. The conduct was unethical business practice.
Current Status:	Final
Resolution:	Consent



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:	01/05/2021
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Restitution Other: Costs
Monetary Sanction 1 of 3	
Monetary Related Sanction:	Restitution
Total Amount:	\$9,802.63
Portion Levied against individual:	\$9,802.63
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/30/2020
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 3	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	Payments of \$4375.00 quarterly
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 3 of 3	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	Payment of \$4375.00 quarterly
Is Payment Plan Current:	Yes
Date Paid by individual:	



Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Same as above.
.....	
Reporting Source:	Individual
Regulatory Action Initiated By:	NEW HAMPSHIRE
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Restitution Other: COSTS
Date Initiated:	05/22/2020
Docket/Case Number:	COM2017-0003
Employing firm when activity occurred which led to the regulatory action:	MKT INVESTMENTS, LLC
Product Type:	Other: I/L ETFs
Allegations:	Stama purchased inverse and leveraged ETFs for his customer accounts and held them beyond the recommended period causing losses. Stama exercised discretion for his customer accounts without written approval and failed to maintain customer advisory contracts. The conduct was unethical business practice.
Current Status:	Final
Resolution:	Consent
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:	01/05/2021
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Restitution Other: COSTS
Monetary Sanction 1 of 3	
Monetary Related Sanction:	Restitution
Total Amount:	\$9,802.63
Portion Levied against individual:	\$9,802.63
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/30/2020



Was any portion of penalty waived?

No

Amount Waived:

Monetary Sanction 2 of 3

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan: 4375.00 QUARTERLY

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 3 of 3

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan: 4375.00 QUARTERLY

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

You may use this field to provide a brief summary of the circumstances leading to the action as well as the current status or final disposition and/or finding(s). Include relevant terms, conditions and dates. Include the number of investors in the reporting jurisdiction, the total number of investors in the program, the amount invested in the reporting jurisdiction, the total amount invested and whether the action is based on a referral or investigation from your securities division. Your information must fit within the space provided.
Same as above.



End of Report

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