IAPD Report

PETER DOMENICK COLICCHIA

CRD# 5423063

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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

PETER DOMENICK COLICCHIA (CRD# 5423063)

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 **04/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BROOKWOOD INVESTMENT GROUP	CRD# 316544	09/23/2025

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	FREEHOLD, NJ	08/16/2022 - 03/31/2025
IA	NEW CENTURY CAPITAL MANAGEMENT, LLC	146494	FREEHOLD, NJ	01/25/2017 - 12/31/2022
IA	NEW CENTURY CAPITAL MANAGEMENT, LLC	146494	FREEHOLD, NJ	10/21/2014 - 12/31/2016

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	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	New Jersey	Investment Adviser Representative	Approved	09/23/2025

Branch Office Locations

BROOKWOOD INVESTMENT GROUP
Freehold, NJ

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
No information reported.		

General Industry/Product Exams

Exam	Category	Date
No information reported.		

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/31/2007

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.

User Guidance

www.adviserinfo.sec.gov

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	08/16/2022 - 03/31/2025	REDWOOD PRIVATE WEALTH	CRD# 312942	FREEHOLD, NJ
IA	01/25/2017 - 12/31/2022	NEW CENTURY CAPITAL MANAGEMENT, LLC	CRD# 146494	FREEHOLD, NJ
IA	10/21/2014 - 12/31/2016	NEW CENTURY CAPITAL MANAGEMENT, LLC	CRD# 146494	FREEHOLD, NJ

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
08/2022 - Present	REDWOOD PRIVATE WEALTH LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	PHOENIX, AZ, United States
04/2014 - Present	PROTECTED GOALS, LLC	LICENSED INSURANCE PRODUCER	Y	FREEHOLD, NJ, United States
07/2017 - 08/2022	NEW CENTRY CAPITAL MANAGEMENT, LLC	CHIEF COMPLIANCE OFFICER	Y	FREEHOLD, NJ, United States
03/2008 - 08/2022	NEW CENTURY CAPITAL MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	FREEHOLD, NJ, 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). PROTECTED GOALS, LLC; INVESTMENT RELATED; 80 WEST MAIN STREET, SUITE 2, FREEHOLD, NJ 07728; LIFE, HEALTH & FIXED ANNUITY SALES; LICENSED INSURANCE PRODUCER, SALES OF LIFE & FIXED ANNUITIES PRODUCTS; SINCE 04/2014; APPROX HOURS PER MONTH: 40; HOURS DURING TRADING: 20

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	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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK MERCANTILE EXCHANGE
Sanction(s) Sought:	
Date Initiated:	01/17/1990
Docket/Case Number:	EXCHANGE DOCKET NUMBER 89.20
Employing firm when activity occurred which led to the regulatory action:	UNKNOWN
Product Type:	Futures Commodity Futures-Financial
Allegations:	THE FOLLOWING WERE THE ALLEGED VIOLATIONS. MR. COLICCHIA CONSENTED TO CERTAIN FINDINGS WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS, ALLEGATIONS OR CONCLUSIONS. VIOLATION OF EXCHANGE RULE 6.41(A) AND (E): PROHIBITION AGAINST TRADING AHEAD OF CUSTOMER ORDERS AND AGAINST TAKING THE OPPOSITE SIDE OF A CUSTOMER ORDER. VIOLATION OF EXCHANGE RULE 6.61: PROHIBITION AGAINST PREARRANGED TRADING; EXCHANGE RULE 8.53(E): ENGAGE IN DISHONEST OR FRAUDULENT TRANSACTIONS RELATING TO CONTRACTS ON THE EXCHANGE; EXCHANGE RULE 8.53(F): CONDUCT DETRIMENTAL TO THE BEST INTERESTS OF THE EXCHANGE; EXCHANGE RULE 8.53(G): CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE; EXCHANGE RULE 8.55(A)(2); IT SHALL BE A MAJOR OFFENSE TO BE GUILTY OF FRAUD OR ANY ACT OF BAD FAITH; EXCHANGE RULE 8.55

	(A)(3): IT SHALL BE A MAJOR OFENSE TO BE GUILTY OF ANY DISHONEST CONDUCT AND EXCHAGNE RULE 8.55(A)(17): IT SHALL BE A MAJOR OFFENSE TO COMMIT AN ACT WHICH IS SUBSTANTIALLY DETRIMENTAL TO THE BEST INTEREST OR WELFARE OF THE EXCHANGE. VIOLATION OF EXCHANGE RULES 6.41(A) AND (E): PROHIBITION AGAINST TRADING AHEAD OF A CUSTOMER ORDER AND TAKING THE OPPOSITE SIDE OF A CUSTOMER ORDER.
Current Status:	Final
Resolution:	Settled
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	04/06/1990
Sanctions Ordered:	Suspension Other: DENIAL OF ACCESS TO THE NYMEX TRADING FLOOR FOR A PERIOD OF 6 MONTHS
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	FLOOR BROKER
Duration:	6 MONTHS
Start Date:	
End Date:	
Broker Statement	THE DISCIPLINARY ACTION WAS SETTLED ON APRIL 6, 1990. THE SUBJECT OF THE DISCIPLINARY ACTION CONCERNED AN ALLEGATION THAT MR. COLICCHIA VIOLATED EXCHANGE RULES 6.41(A) AND (E) PROHIBITION AGAINST TRADING AHEAD OF CUSTOMER ORDERS AND TAKING THE OPPOSITE SIDE OF A CUSTOMER ORDER, 6.61 PREARRANGED TRADING, 8.53 (E), (F) AND (G) PROHIBITED CONDUCT, AND 8.55 (A)(2),(3) AND (17) MAJOR OFFENSES. MR. COLICCHIA SUBMITTED AN OFFER OF SETTLEMENT WITHOUT ADMITTING OR DENYING THE ALLEGATIONS AGAINST HIM. IN THE OFFER OF SETTLEMENT, MR. COLICCHIA CONSENTED TO A FINDING BY THE EXCHANGE THAT HE VIOLATED EXCHANGE RULE 8.55(A)(17) CONDUCT SUBSTANTIALLY DETRIMENTAL TO THE BEST INTERESTS OR WELFARE OF THE EXCHANGE; A FINDING THAT A REASONABLE BASIS EXISTS TO BELIEVE THAT HE VIOLATED EXCHANGE RULES 6.41(A) AND (E), 6.61 AND 8.53 (F) AND (G); A CEASE AND DESIST ORDER; A FINE IN THE AMOUNT OF $45,000 AND A SUSPENSION FROM MEMBERSHIP AND DENIAL OF ACCESS TO THE NYMEX TRADING FLOOR FOR A PERIOD OF 6 MONTHS. THE OFFER WAS ACCEPTED BY THE EXCHANGE'S BOARD OF DIRECTORS AT A REGULAR MONTHLY MEETING ON APRIL 4, 1990. PERSUANT TO AN ACTION BEFORE ADMINISTRATIVE LAW JUDGE BRUCE J. LEVINE DATED AUGUST 14, 1996, THE MATTER WAS DISMISSED AND TERMINATED IN ITS ENTIRETY.

MR. COLICCHIA REAPPLIED FOR MEMBERSHP ON THE NYMEX. AFTER FULLFILLING THE OBLIGATIONS OF THE SETTLEMENT ORDER. HE WAS APPROVED BY THE NYMEX BOARD OF DIRECTORS ON NOVEMBER 5, 1997. HE LEFT NYMEX AS A MEMBER IN GOOD STANDING.

Disclosure 2 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	U.S. COMMODITY FUTURES TRADING COMMISSION
Sanction(s) Sought:	
Date Initiated:	09/22/1995
Docket/Case Number:	SD-95-21
Employing firm when activity occurred which led to the regulatory action:	UNKNOWN
Product Type:	Futures Commodity
Allegations:	THE ORIGINAL NOTICE OF INTENT TO DENY OR CONDITION REGISTRATION CANNOT BE FOUND. HOWEVER THE CFTC ACTION TRACKS THE NYMEX ACTION FOR WHICH APPLICANT HAS SUBMITTED A DRP. IN GENERAL THE ACTION PERTAINS TO CEA 8A(3)(M) - OTHER GOOD CAUSE.
Current Status:	Final
Resolution:	Settled
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	08/14/1996
Sanctions Ordered:	Bar (Temporary/Time Limited) Monetary Penalty other than Fines
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	REGISTRATION WITH CFTC
Duration:	1 YEAR
Start Date:	08/14/1996
End Date:	08/14/1997
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Restitution
Total Amount:	$9,750.00
Portion Levied against individual:	$9,750.00
Payment Plan:	

Is Payment Plan Current:	Yes
Date Paid by individual:	08/18/1996
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	MR. COLICCHIA REAPPLIED FOR REGISTRATION AS A FLOOR BROKER WITH THE NFA/CFTC AFTER FULLFILLING THE OBLIGATIONS OF THE SETTLEMENT ORDER. HE RECEIVED A CONDITIONAL APPROVAL BY NFA ON DECEMBER 10, 1997.

End of Report

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