



IAPD Report

BRADLEY CLAY ROOKS

CRD# 5882475

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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

BRADLEY CLAY ROOKS (CRD# 5882475)

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 **04/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROOKS WEALTH ADVISORS, LLC	CRD# 316013	10/15/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	CAMPBELL ROOKS WEALTH MANAGEMENT, L.L.C.	125052	CHATTANOOGA, TN	01/12/2016 - 07/13/2021
IA	ROOKS WEALTH MANAGEMENT, PLLC	141058	HIXSON, TN	10/24/2011 - 12/31/2015

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	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ROOKS WEALTH ADVISORS, LLC**
Main Address: 412 GEORGIA AVENUE
SUITE, 236
CHATTANOOGA, TN 37403
Firm ID#: 316013

	Regulator	Registration	Status	Date
	Georgia	Investment Adviser Representative	Approved	04/09/2025
	Tennessee	Investment Adviser Representative	Approved	10/15/2021

Branch Office Locations

ROOKS WEALTH ADVISORS, LLC
412 Georgia Avenue, Suite 236
Chattanooga, TN 37403



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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IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/30/2010
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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	01/12/2016 - 07/13/2021	CAMPBELL ROOKS WEALTH MANAGEMENT, L.L.C.	CRD# 125052	CHATTANOOGA, TN
IA	10/24/2011 - 12/31/2015	ROOKS WEALTH MANAGEMENT, PLLC	CRD# 141058	HIXSON, TN

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
10/2023 - Present	Rooks Wealth Advisors, LLC	Managing Partner/Investment Adviser Representative/CCO	Y	Chattanooga, TN, United States
07/2021 - Present	Rooks Wealth Advisors	Investment Adviser Representative	Y	Chattanooga, TN, United States
01/2016 - 07/2021	Campbell Rooks Wealth Management, LLC	Partner/Investment Adviser	Y	Chattanooga, TN, 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.

No information reported.



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	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:	Tennessee Securities Division
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/22/2022
Docket/Case Number:	MATTER No.: 23-01280
URL for Regulatory Action:	https://www.tn.gov/content/dam/tn/commerce/documents/securities/consentorders/Rooks%20Consent%20Order%20Entered%20and%20Executed.pdf
Employing firm when activity occurred which led to the regulatory action:	Rooks Wealth Advisors, L.L.C. (CRD# 316013)
Product Type:	No Product
Allegations:	Respondent Bradley Rooks engaged in unregistered activity by entering into client agreements as the investment adviser representative prior to being registered; Respondent Larry Rooks failed to properly supervise Respondent Bradley Rooks by allowing him to engage in unregistered activity by entering into client agreements as the investment adviser representative prior to being registered.
Current Status:	Final
Resolution:	Order



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: 03/16/2026

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Undertaking
Other: Respondent Bradley Rooks shall complete twelve (12) hours of investment adviser continuing education within ninety (90) days of the execution and entry of the consent order.

Monetary Sanction 1 of 1

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

Total Amount: \$14,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual

Regulatory Action Initiated By: Tennessee Division of Securities

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Other: Consent Order

Date Initiated: 07/22/2022

Docket/Case Number: 23-01280

Employing firm when activity occurred which led to the regulatory action: Rooks Wealth Advisors, LLC

Product Type: No Product

Allegations: During a routine examination of the firm's books and record the division found that Bradley C. Rooks signed client agreements prior to his registration being approved by the division.

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:	03/16/2026
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: Bradley Rooks shall complete twelve (12) hours of continuing education within ninety (90) days of consent order.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$14,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	03/16/2026
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	This matter involved a technical administrative oversight regarding the sequence of registration approvals. While the Firm's registration was fully effective and Bradley Rooks' individual registration was pending, a number of client agreements were executed in anticipation of approval. To prevent future recurrence, the Advisor has proactively implemented enhanced compliance tracking to ensure all state-level triggers are strictly met before any agreements are finalized.



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 1

Reporting Source: Firm

Firm Name: CAMPBELL ROOKS WEALTH MANAGEMENT, L.L.C.

Termination Type: Discharged

Termination Date: 07/06/2021

Allegations: Violation of company policies including cyber security violations regarding client identifying information and fees charged to clients in excess of written agreement with firm.

Product Type: No Product

Firm Statement Terminated for cause due to violations of company policies including cybersecurity and fees charged to clients in excess of any written agreement and fee disclosures on the firm's ADV, Part 2. After completion of the internal investigation, we confirmed:

1. Mr. Rooks stored client data including client names and account numbers on an external storage device against the company's written policies and procedures regarding client privacy and data security. Mr. Rooks further stored company passwords on a company laptop also in violation of the same company policies and procedures. After an investigation by an external cyber security firm, it does not appear that client data was actually compromised to 3d parties to date. Nonetheless, these violations jeopardized personal client data.

2. Mr. Rooks improperly billed 17 client accounts in excess of any written agreements, and without the knowledge and approval of the firm, totaling approximately \$50,000. All overbilled clients have been fully reimbursed by the firm.

Reporting Source: Individual

Firm Name: Campbell Rooks Wealth Management

Termination Type: Voluntary Resignation

Termination Date: 07/06/2021

Allegations: Charging Clients Financial Planning fees in addition to the Investment Management Fee. Accessing client files on secure external hard drive for off-site use while traveling for business.

Product Type: No Product

Broker Statement An internal office dispute between Mr. Rooks and his business partner, Mr. Campbell, lead to a misrepresentation of facts and false allegations and made by Mr. Campbell (detailed above). These allegations were never made by Mr. Campbell until his improper actions toward Mr. Rooks, which include: ousting Mr. Rooks from his office, taking possession of his personal/work laptop, making client files unavailable to him and calling Mr. Rooks' clients in an effort to defame his reputation. Mr. Rooks was not made aware of these allegations until he noticed the disclosure on the U5. It has been determined that no intentional misconduct



was present for either of the allegations. Mr. Rooks and Mr. Campbell have gone their separate ways.



End of Report

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