



IAPD Report

Philip Jeffrey Brooks

CRD# 835586

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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

Philip Jeffrey Brooks (CRD# 835586)

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 **04/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CABOT LODGE SECURITIES LLC	CRD# 159712	04/24/2020
IA	REDWOOD FAMILY WEALTH LLC	CRD# 334013	01/18/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	XO WEALTH MANAGEMENT	281767	DALLAS, TX	01/16/2025 - 02/03/2025
IA	XO WEALTH MANAGEMENT	281767	ADDISON, TX	04/28/2020 - 12/31/2024
B	RAYMOND JAMES & ASSOCIATES, INC.	705	DALLAS, TX	10/26/2007 - 04/15/2020

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
Criminal	1
Customer Dispute	1
Termination	1



Report Summary



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

Employment 1 of 2

Firm Name: **REDWOOD FAMILY WEALTH LLC**
Main Address: 15455 DALLAS PKWY
STE 1080
ADDISON, TX 75001
Firm ID#: 334013

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	01/18/2025

Branch Office Locations

REDWOOD FAMILY WEALTH LLC
15455 DALLAS PKWY
STE 1080
ADDISON, TX 75001

Employment 2 of 2

Firm Name: **CABOT LODGE SECURITIES LLC**
Main Address: 425 N MARTINGALE RD
SUITE 1220
SCHAUMBURG, IL 60173
Firm ID#: 159712

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	04/24/2020
B FINRA	General Securities Sales Supervisor	Approved	04/24/2020
B New York	Agent	Approved	06/01/2020
B Texas	Agent	Approved	04/28/2020
B Utah	Agent	Approved	04/27/2020



Qualifications

Branch Office Locations

15455 Dallas Parkway Ste 1080B
Addison, TX 75001






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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	06/25/1985

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Interest Rate Options Examination (S5)	Series 5	10/06/1981
 AMEX Put and Call Exam (PC)	PC	09/08/1977
 General Securities Representative Examination (S7)	Series 7	03/19/1977

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/27/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/02/1982



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	01/16/2025 - 02/03/2025	XO WEALTH MANAGEMENT	CRD# 281767	DALLAS, TX
IA	04/28/2020 - 12/31/2024	XO WEALTH MANAGEMENT	CRD# 281767	ADDISON, TX
B	10/26/2007 - 04/15/2020	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	DALLAS, TX
IA	10/26/2007 - 04/15/2020	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	DALLAS, TX
IA	06/12/2002 - 11/13/2007	RBC DAIN RAUSCHER INC.	CRD# 31194	PLANO, TX
B	03/02/1998 - 11/13/2007	RBC DAIN RAUSCHER INC.	CRD# 31194	PLANO, TX
B	01/02/1998 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	01/11/1991 - 01/02/1998	RAUSCHER PIERCE REFSNES, INC.	CRD# 6663	DALLAS, TX
B	06/05/1989 - 11/28/1990	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	NEW YORK, NY
B	09/26/1978 - 06/12/1989	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	04/01/1977 - 09/26/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

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
01/2025 - Present	REDWOOD FAMILY WEALTH LLC	INVESTMENT ADVISERREPRESENTATIVE	Y	DALLAS, TX, United States
01/2025 - Present	REDWOOD FAMILY WEALTH LLC	MEMBER	Y	DALLAS, TX, United States
04/2020 - Present	Cabot Lodge Securities LLC	Registered Representative	Y	New York, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2020 - 01/2025	XO WEALTH MANAGEMENT	INVESTMENT ADVISER REPRESENTATIVE	Y	DALLAS, TX, United States
10/2007 - 04/2020	RAYMOND JAMES & ASSOCIATES, INC.	FINANCIAL ADVISOR	Y	FRISCO, TX, 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) Cabot Lodge Securities LLC; Investment related; New York, NY; Broker Dealer; Registered Representative; Start Date: 04/2020; approx 1 hour per month; zero hours during trading hours; trailing annuity commissions.

(2) PJB Investment Advisors LLC, not investment related, LLC, Addison, TX, Principal, 4/2020, 1 hour per month; zero hours during trading hours, simply pass through entity to help pay office expenses.



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
Criminal	1
Customer Dispute	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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/17/1991
Docket/Case Number:	C06910050
Employing firm when activity occurred which led to the regulatory action:	SMITH BARNEY
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/14/1992
Sanctions Ordered:	Censure Monetary/Fine \$15,000.00 Suspension



Other Sanctions Ordered:

Sanction Details:

Regulator Statement

COMPLAINT NO. C06910050 FILED DECEMBER 17, 1991 BY DISTRICT NO. 6 AGAINST RESPONDENT PHILIP JEFFREY BROOKS ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT BROOKS PROVIDED AN INDIVIDUAL WITH BLANK STATIONERY OF HIS MEMBER FIRM AND SIGNED LETTERS TO THIRD PARTIES DRAFTED BY THE INDIVIDUAL WHICH SIGNIFICANTLY OVERSTATED THE VALUE OF CASH AND SECURITIES HELD IN A CUSTOMER'S ACCOUNT AT HIS MEMBER FIRM.

DECISION RENDERED JULY 31, 1992, WHEREIN RESPONDENT BROOKS IS CENSURED, FINED \$15,000, SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY FOR 30 DAYS AND ASSESSED COSTS OF \$1,176. IF NO FURTHER ACTION, DECISION IS FINAL SEPTEMBER 14, 1992.

AUGUST 14, 1992- APPEALED TO THE NATIONAL BUSINESS CONDUCT COMMITTEE (N.B.C.C.)

OCTOBER 30, 1992 - THE NBCC APPROVED RESPONDENT BROOKS REQUEST TO WITHDRAW THE APPEAL, THEREFORE, THE DBCC DECISION IS FINAL.

PRESS RELEASE DECEMBER 1992: THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS DECEMBER 2, 1992 AND WILL CONLCUDE AT THE CLOSE OF BUSINESS JANUARY 19, 1993.

12/4/92: PURSUANT TO REQUEST OF RESPONDENT BROOKS MEMBER FIRM, 30 DAYS SUSPENSION DEEMED SERVED RETROACTIVELY FROM AUGUST 5, 1992 THROUGH SEPTEMBER 3, 1992.

***\$16,176.00 PAID ON 5/03/94, INVOICE #92-06-982.

Reporting Source:

Individual

Regulatory Action Initiated By:

NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:

12/17/1991

Docket/Case Number:

C06910050

Employing firm when activity occurred which led to the regulatory action:

SMITH BARNEY

Product Type:

Other Product Type(s):



Allegations:	VIOLETIONS OF ARTICLE III, SECTION 1 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE. BROOKS PROVIDED LESTER HATHCOTE, PRESIDENT AND PRINCIPAL SHAREHOLDER OF PRIMA INTERNACIONAL (GROUPO) S.A. ("PRIMA") WITH BLANK SMITH BARNEY STATIONERY AND SIGNED LETTERS TO THIRD PARTIES DRAFTED BY SAID LESTER HATHCOTE, WHICH LETTERS SIGNIFICANTLY OVERSTATED THE VALUE OF CASH AND SECURITIES HELD IN THE PRIMA ACCOUNT AT SMITH BARNEY.
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/14/1992
Sanctions Ordered:	Censure Monetary/Fine \$15,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	PHILIP BROOKS WAS CENSURED, SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY FOR A PERIOD OF THIRTY DAYS AND FINED \$15,000.00.
Broker Statement	Not Provided



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	UNITED STATES DISTRICT COURT NORFOLK VIRGINIA CASE #92-116-N
Charge Date:	07/01/1992
Charge Details:	ALLEGATIONS THAT PHILIP J. BROOKS DID KNOWINGLY, UNLAWFULLY AND WILLFULLY MAKE AND CAUSE TO BE MADE A FALSE STATEMENT FOR THE PURPOSE OF INFLUENCING THE ACTION OF GUARDIAN FEDERAL CREDIT UNION ON A LOAN APPLICATION MADE BY AND ON BEHALF OF ADVANCED FLOTATION TECHNOLOGY, INC. VIOLATION OF TITLE 18, UNITED STATES CODE, SECTION 1014.
Felony?	
Current Status:	Final
Status Date:	12/03/1992
Disposition Details:	PHILIP J. BROOKS WAS FOUND NOT GUILTY. MR. BROOKS WAS ACQUITTED, DISCHARGED AND ANY BOND EXONERATED.
Broker Statement	Not Provided



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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SMITH BARNEY

Allegations: FRAUD, NEGLIGENT MISREPRESENTATION, AND NEGLIGENCE, ALLEGED COMPENSATORY DAMAGES OF AT LEAST \$50 MILLION.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/19/1991

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT; NORTHERN DISTRICT OF TX; 3-91CV2064-H

Date Notice/Process Served: 10/01/1991

Litigation Pending? No

Disposition: Settled

Disposition Date: 04/26/1993

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount:

Firm Statement BROOKS SETTLED THE CASE BY HIS ASSIGNMENT OF A TIME SHARE IN A CONDOMINIUM. SMITH BARNEY SETTLED FOR \$35,000.00.
Not Provided

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Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: SMITH BARNEY

Allegations: FRAUD, NEGLIGENT MISREPRESENTATION, AND NEGLIGENCE, ALLEGED COMPENSATORY DAMAGES OF AT LEAST \$50 MILLION.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/19/1991

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT; NORTHERN DISTRICT OF TX; 3-91CV2064-H

Date Notice/Process Served: 10/01/1991

Litigation Pending? No

Disposition: Settled

Disposition Date: 04/26/1993

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount:

Broker Statement MR. BROOKS SETTLED THE CASE BY HIS ASSIGNMENT OF A TIME SHARE IN A CONDOMINIUM. SMITH BARNEY SETTLED FOR \$35,000.00.
Not Provided



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: Individual
Firm Name: SMITH BARNEY
Termination Type: Permitted to Resign
Termination Date: 10/15/1990
Allegations: N/A
N/A

Product Type:

Other Product Types:

Broker Statement

I WAS PERMITTED TO RESIGN.
I WAS PERMITTED TO RESIGN AFTER IT WAS DETERMINED
THAT I HAD PROVIDED A CUSTOMER WITH BLANK SMITH BARNEY
STATIONARY AND SIGNED LETTERS TO THIRD PARTIES DRAFTED BY THE
CUSTOMER WHICH DID NOT ACCURATELY REFLECT THE STATUS OF THE
CUSTOMER'S ACCOUNT.



End of Report

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