

**Form ADV Part 2B – Brochure Supplement for Robert Alan Brooks**  
**Item 1: Cover Page**  
**May 2014**

TFG Investment Management, LLC  
doing business as  
**The Financial Group**

21700 Copley Drive, Suite 160  
Diamond Bar, CA 91765

Firm Contact:  
Robert Alan Brooks  
Chief Compliance Officer

This brochure supplement provides information about Robert Alan Brooks that supplements our brochure. You should have received a copy of that brochure. Please contact our office if you did not receive The Financial Group's brochure or if you have any questions about the contents of this supplement.

Additional information about Robert Alan Brooks is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2: Educational Background & Business Experience**

**Robert Alan Brooks** | *Year of Birth: 1957*

### **Educational Background:**

- University of Southern California; Political Science; 1977
- California State University Fullerton; Economics; 1979

### **Business Background:**

- TFG Investment Management, LLC *dba* **The Financial Group**; 02/2014 – Present  
Principal/Registered Investment Adviser Representative
- Robert Alan Brooks *dba* The Financial Group; 05/1984 – 02/2014  
Financial Advisor
- ING Financial Partners, Inc. (formerly Washington Square Securities, Inc.); 11/1985 – 02/2014  
Registered Representative and Registered Investment Adviser Representative

### **Exams, Licenses & Other Professional Designations:**

Financial Industry Regulatory Authority (FINRA) Registrations:

- Series 7 (General Securities Representative) – 1990
- Series 6 (Investment Company Products/Variable Contracts Limited Representative) – 1986
- Series 63 (Uniform Securities Agent State Law) – 1995
- Series 65 (Uniform Investment Adviser Law) – 1998

Insurance Licenses:

- California Variable Contracts License – 08/1986
- California Life Insurance License – 02/1979

## **Item 3: Disciplinary Information**

There is no legal or disciplinary events material to your evaluation of Robert Alan Brooks.

## **Item 4: Other Business Activities**

### **A. Investment-Business Related Activities**

Robert Alan Brooks is also licensed in insurance and appointed with various insurance companies. As such, he may offer insurance products and receive normal and customary compensation as a result of implementing insurance product transactions on behalf of clients.

### **Disclosure related to all investment-business related activities:**

Clients are not under any obligation to engage Robert Alan Brooks to provide other services. The implementation of any and all services is solely at the discretion and direction of the client.

Robert Alan Brooks places the interests of his clients first as part of his fiduciary obligation. Clients should be aware that the receipt of additional compensation for other activities, such as insurance, may create a conflict of interest for Robert Alan Brooks.

Robert Alan Brooks and the firm take steps to address this potential conflict of interest, acting at all times in the best interests of our clients and are bound by our firm's Code of Ethics. Please refer to Item 11 of our firm's Form ADV Part 2A for additional information.

**B. Non-Investment Related Activities**

Robert Alan Brooks is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

**Item 5: Additional Compensation**

Robert Alan Brooks does not receive any additional compensation or economic benefit outside of his regular salary such as any sales awards or other prizes.

**Item 6: Supervision**

Robert Alan Brooks is the sole principal and Chief Compliance Officer and as such has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.

**Item 7: Requirements for State-Registered Advisers**

Robert Brooks has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.