



Financial & Tax Architects, Inc.

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Form ADV Part 2B

David Scott Brooks

March 1st, 2022

This brochure supplement provides information about David “Scott” Brooks that supplements Financial & Tax Architects, Inc.’s brochure. You should have received a copy of that brochure. Please contact Steve Frontczak, Chief Legal Officer, if you did not receive Financial & Tax Architects, Inc.’s brochure or if you have any questions about the contents of this supplement.

Additional information about David Scott Brooks (CRD #1920936) is available on the SEC’s website at www.adviserinfo.sec.gov.

Brochure Supplement – Form ADV Part 2B

David “Scott” Brooks

Executive Officer and Investment Advisor Representative

Item 2 Educational and Business Background

Educational Background:

- Southeast Missouri State University; Bachelor of Science Interdisciplinary – Biology, Chemistry, Psychology, Physics and Math; 1986

Business Experience:

- Financial and Tax Architects, Inc.; President/Investment Advisor Representative; 07/1999 – Present
- Financial and Tax Architects, Inc.; President; 01/1996 – Present
- RIA Compliance Services, LLC; President; 03/2017 – Present
- BHFM, LLC; Managing Member/Partner; 07/2020 – Present
- BHFM Media, LLC Managing Member/Partner; 01/21 – Present
- Revolution Medical; President; 01/2004 – 01/2012

Item 3 Disciplinary Information

- Criminal or Civil Action: None to report.
- Administrative Proceeding: None to report.
- Self-Regulatory Proceeding: None to report.

Item 4 Other Business Activities

David Scott Brooks is a licensed insurance agent in the States of Missouri and Illinois. Mr. Brooks spends approximately 15% of his time is spent in his insurance practice. In that capacity, he will provide advice on various insurance products. Mr. Brooks only sells insurance products in states where he is holds an insurance license.

Scott Brooks is a Managing Member in BHFM, LLC and BHFM Media, LLC, both are affiliates of FTA

BHFM LLC: BHFM LLC, is an insurance and annuity field marketing organization (“FMO”) A FMO is a platform that brings insurance companies and insurance agents together. BHFM recruits insurance agents to its wholesale platform of insurance products and product support. The platform allows agents to access the product offerings of insurance product underwriters. When a supported agent sells a product, the insurance or annuity company pays BHFM a sales commission directly to BHFM The selling agent also is paid a commission based on the value of the product. The insurance company pays BHFM the commission separate from any commissions paid by the purchaser. In some instances, FTA’s investment advisory representatives may sell insurance products using BHFM’s as the FMO. Sales commissions

paid to FTA advisory representatives are separate from FTA's advisory fees.

BHFM, Media, LLC: BHFM Media provides media support to BHFM insurance agents. Among its services is content, commercial airtime purchasing, production of radio and video content, and script writing. BHFM Media charges fees based on the services it provides. The fees charged by BHFM Media; LLC are unrelated to the advisory fees charged by FTA.

David Scott Brooks also owns the following entities FTA and RIA Compliance Services, LLC. He is the majority owner of BHFM, LLC and BHFM Media, LLC. FTA Insurance Services, LLC sells insurance and annuity products to FTA clients. RIA Compliance Services, LLC, BHFM, LLC and BHFM Media, LLC do not provide services to FTA clients. These entities provide services to unaffiliated investment advisers and independent insurance agents.

RIA Compliance Services, LLC: RIA Compliance Services, LLC ("RIACS") is an affiliate of FTA. RIACS provides compliance support services to IA Firms who are part of FTA's Managed Money Program. RIACS charges a monthly fee. RIACS charges a monthly fee which is in addition to the sub-advisory fees charged by FTA to participating IA Firms. RIACS does not provide services to FTA advisory clients.

Item 5 Additional Compensation

Mr. Brooks does not receive additional compensation from his advisory activities. He does receive additional compensation from the outside business activities described above.

Mr. Brooks is not paid performance-based fees.

Item 6 Supervision

Steve Frontczak is the Chief Compliance Officer of Financial & Tax Architects, Inc. Mr. Frontczak supervises the advisory activities of Mr. Brooks. He can be reached by phone at (314) 858-1122 or by email at compliance@fta-ria.com