

## BrokerCheck Report

**Richard Weiss**

CRD# 2523174

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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.

## About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit [www.finra.org](http://www.finra.org).



## Richard Weiss

CRD# 2523174

**Currently employed by and registered with the following Firm(s):**

**IA INTERNATIONAL ASSETS ADVISORY, LLC**

111 NORTH ORANGE AVE.  
SUITE 1000  
ORLANDO, FL 32801  
CRD# 10645

Registered with this firm since: 07/22/2020

**IA GLOBAL ASSETS ADVISORY, LLC**

111 N. ORANGE AVENUE  
SUITE 1000  
ORLANDO, FL 32801  
CRD# 300460

Registered with this firm since: 05/23/2019

**IA INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC**

111 NORTH ORANGE AVENUE  
SUITE 1000  
ORLANDO, FL 32801  
CRD# 144426

Registered with this firm since: 02/01/2018

**B BROOKS, HOUGHTON SECURITIES, INC.**

111 N. ORANGE AVE  
SUITE 1000  
ORLANDO, FL 32801  
CRD# 27514

Registered with this firm since: 09/28/2025

This broker is currently registered with FINRA or a national securities exchange at more than four brokerage firms. Please see the Registration History section of the report for a list of these brokerage firms.

## Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

**This broker is registered with:**

- 1 Self-Regulatory Organization
- 21 U.S. states and territories

**This broker has passed:**

- 5 Principal/Supervisory Exams
- 7 General Industry/Product Exams
- 2 State Securities Law Exams

### Registration History

**This broker was previously registered with the following securities firm(s):**

**IA CANTELLA & CO., INC.**

CRD# 13905  
MALDEN, MA  
10/2015 - 11/2017

**B CANTELLA & CO., INC.**

CRD# 13905  
BOSTON, MA  
10/2015 - 11/2017

**B CETERA ADVISOR NETWORKS LLC**

CRD# 13572  
LYNNFIELD, MA  
08/2015 - 10/2015

### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 21 U.S. states and territories through his or her employer.**

### Employment 1 of 5

Firm Name: **BROOKS, HOUGHTON SECURITIES, INC.**

Main Office Address: **111 N. ORANGE AVE  
SUITE 1000  
ORLANDO, FL 32801**

Firm CRD#: **27514**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/28/2025
B	FINRA	General Securities Representative	Approved	09/28/2025
B	FINRA	Operations Professional	Approved	09/28/2025

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	09/28/2025
B	Florida	Agent	Approved	09/28/2025

### Branch Office Locations

**BROOKS, HOUGHTON SECURITIES, INC.**

111 N. ORANGE AVE  
SUITE 1000  
ORLANDO, FL 32801

### Employment 2 of 5

Firm Name: **GLOBAL ASSETS ADVISORY, LLC**

Main Office Address: **111 N. ORANGE AVENUE  
SUITE 1000  
ORLANDO, FL 32801**



## Broker Qualifications

### Employment 2 of 5, continued

Firm CRD#: **300460**

	U.S. State/ Territory	Category	Status	Date
<b>IA</b>	Florida	Investment Adviser Representative	Approved	05/23/2019

### Branch Office Locations

111 N. ORANGE AVENUE  
SUITE 1000  
ORLANDO, FL 32801

### Employment 3 of 5

Firm Name: **INTERNATIONAL ASSETS ADVISORY, LLC**

Main Office Address: **111 NORTH ORANGE AVENUE  
SUITE 1000  
ORLANDO, FL 32801**

Firm CRD#: **10645**

	SRO	Category	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	01/02/2018
<b>B</b>	FINRA	General Securities Representative	Approved	01/02/2018
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	01/02/2018
<b>B</b>	FINRA	Investment Banking Representative	Approved	01/02/2018
<b>B</b>	FINRA	Municipal Securities Representative	Approved	01/02/2018
<b>B</b>	FINRA	Operations Professional	Approved	01/02/2018
<b>B</b>	FINRA	Securities Trader	Approved	01/02/2018
<b>B</b>	FINRA	Securities Trader Principal	Approved	01/02/2018
<b>B</b>	FINRA	Compliance Officer	Approved	10/01/2018



## Broker Qualifications

### Employment 3 of 5, continued

SRO	Category	Status	Date
<b>B</b> FINRA	Investment Banking Principal	Approved	10/01/2018

  

U.S. State/ Territory	Category	Status	Date
<b>B</b> Florida	Agent	Approved	01/02/2018
<b>IA</b> Florida	Investment Adviser Representative	Approved	07/22/2020
<b>B</b> New Hampshire	Agent	Approved	01/02/2018

### Branch Office Locations

**INTERNATIONAL ASSETS ADVISORY, LLC**  
 111 NORTH ORANGE AVE.  
 SUITE 1000  
 ORLANDO, FL 32801

### Employment 4 of 5

Firm Name: **INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC**  
 Main Office Address: **111 NORTH ORANGE AVENUE**  
**SUITE 1000**  
**ORLANDO, FL 32801**  
 Firm CRD#: **144426**

U.S. State/ Territory	Category	Status	Date
<b>IA</b> Florida	Investment Adviser Representative	Approved	02/01/2018

### Branch Office Locations

111 NORTH ORANGE AVENUE  
 SUITE 1000  
 ORLANDO, FL 32801

## Broker Qualifications



### Employment 4 of 5, continued

#### Employment 5 of 5

Firm Name: **PRIMUS FINANCIAL SERVICES, LLC**

Main Office Address: **111 N. ORANGE AVENUE  
SUITE 1000  
ORLANDO, FL 32801**

Firm CRD#: **307060**

SRO	Category	Status	Date
<b>B</b> FINRA	Compliance Officer	Approved	09/20/2021
<b>B</b> FINRA	General Securities Principal	Approved	09/20/2021
<b>B</b> FINRA	General Securities Representative	Approved	09/20/2021
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	09/20/2021
<b>B</b> FINRA	Investment Banking Principal	Approved	09/20/2021
<b>B</b> FINRA	Investment Banking Representative	Approved	09/20/2021
<b>B</b> FINRA	Municipal Securities Representative	Approved	09/20/2021
<b>B</b> FINRA	Operations Professional	Approved	09/20/2021
<b>B</b> FINRA	Securities Trader	Approved	09/20/2021
<b>B</b> FINRA	Securities Trader Principal	Approved	09/20/2021

U.S. State/ Territory	Category	Status	Date
<b>B</b> Arizona	Agent	Approved	06/21/2023
<b>B</b> Colorado	Agent	Approved	05/23/2023
<b>B</b> Delaware	Agent	Approved	08/30/2023
<b>B</b> Florida	Agent	Approved	12/20/2021
<b>B</b> Georgia	Agent	Approved	08/04/2023



## Broker Qualifications

### Employment 5 of 5, continued

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	12/13/2023
B	Iowa	Agent	Approved	07/31/2023
B	Kentucky	Agent	Approved	08/04/2023
B	Maryland	Agent	Approved	11/02/2023
B	Michigan	Agent	Approved	05/31/2023
B	Montana	Agent	Approved	08/02/2023
B	Nebraska	Agent	Approved	08/07/2023
B	New York	Agent	Approved	07/30/2023
B	Oklahoma	Agent	Approved	05/18/2023
B	South Carolina	Agent	Approved	05/18/2023
B	South Dakota	Agent	Approved	05/16/2023
B	Texas	Agent	Approved	01/25/2022
B	Utah	Agent	Approved	05/17/2023
B	Washington	Agent	Approved	07/27/2023

### Branch Office Locations

#### PRIMUS FINANCIAL SERVICES, LLC

111 N. ORANGE AVENUE  
SUITE 1000  
ORLANDO, FL 32801

#### PRIMUS FINANCIAL SERVICES, LLC

111 NORTH ORANGE AVENUE  
SUITE 1000  
Orlando, FL 32801







## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 5 principal/supervisory exams, 7 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Compliance Officer Examination	Series 14	01/02/2023
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
<b>B</b> General Securities Principal Examination	Series 24	11/14/2000
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	04/22/1997

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Municipal Securities Representative Examination	Series 52TO	01/02/2023
<b>B</b> Securities Trader Exam	Series 57TO	01/02/2023
<b>B</b> Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Limited Representative-Equity Trader Exam	Series 55	08/24/1999
<b>B</b> General Securities Representative Examination	Series 7	01/02/1996

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	06/23/2003

## Broker Qualifications



### Industry Exams this Broker has Passed, continued State Securities Law Exams Continued

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/31/1996

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	10/2015 - 11/2017	CANTELLA & CO., INC.	13905	BOSTON, MA
B	10/2015 - 11/2017	CANTELLA & CO., INC.	13905	BOSTON, MA
B	08/2015 - 10/2015	CETERA ADVISOR NETWORKS LLC	13572	LYNNFIELD, MA
B	08/2015 - 10/2015	CETERA ADVISORS LLC	10299	LYNNFIELD, MA
B	08/2015 - 10/2015	CETERA FINANCIAL SPECIALISTS LLC	10358	LYNNFIELD, MA
B	08/2015 - 10/2015	CETERA INVESTMENT SERVICES LLC	15340	LYNNFIELD, MA
IA	07/2004 - 10/2015	INVESTORS CAPITAL ADVISORY	30613	LYNNFIELD, MA
B	07/2004 - 10/2015	INVESTORS CAPITAL CORP.	30613	LYNNFIELD, MA
B	03/2004 - 04/2004	COMMONWEALTH FINANCIAL NETWORK	8032	WALTHAM, MA
IA	06/2003 - 08/2003	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	6363	BEDFORD, NH
B	06/2003 - 08/2003	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B	06/2003 - 08/2003	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
B	06/1999 - 04/2002	H&R BLOCK FINANCIAL ADVISORS, INC.	5979	DETROIT, MI
B	07/1997 - 01/1999	WEDBUSH MORGAN SECURITIES INC.	877	PASADENA, CA
B	01/1996 - 06/1997	TUCKER ANTHONY INCORPORATED	837	BOSTON, MA
B	09/1996 - 05/1997	FIRST ALBANY CORPORATION	298	NEW YORK, NY

### Employment History



## Registration and Employment History

### Employment History, continued

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
09/2021 - Present	Primus Financial Services, LLC	Chief Compliance Officer	Y	ORLANDO, FL, United States
04/2019 - Present	GLOBAL ASSETS ADVISORY, LLC	CHIEF COMPLIANCE OFFICER	Y	ORLANDO, FL, United States
01/2018 - Present	INTERNATIONAL ASSETS ADVISORY, LLC	CHIEF COMPLIANCE OFFICER	Y	ORLANDO, FL, United States
01/2018 - Present	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CHIEF COMPLIANCE OFFICER	Y	ORLANDO, FL, United States
10/2015 - 11/2017	Cantella & Co., Inc.	Financial Advisor/Back Office	Y	Boston, MA, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC - 111 N ORANGE AVE, STE 1000, ORLANDO, FL 32801 - RIA AFFILIATE OF INTERNATIONAL ASSETS ADVISORS - CCO SINCE 01/2018 - APPROX 160 HRS/MO - SALARY
- 2) GLOBAL ASSETS ADVISORY, LLC 111 N ORANGE AVE, STE 1000, ORLANDO, FL 32801 - RIA - CHIEF COMPLIANCE OFFICER SINCE 4/2019 - APPROX 10 HRS/MO - SALARY
- 3) PRIMUS FINANCIAL SERVICES, LLC 111 N ORANGE AVE, STE 1000, ORLANDO, FL 32801 -BD AFFILIATE OF INTERNATIONAL ASSETS ADVISORY, LLC - CCO SINCE 9/2021 - APPROX 10 HRS/MO - SALARIED
- 4) BROOKS, HOUGHTON SECURITIES 111 N ORANGE AVE, STE 1000, ORLANDO, FL 32801 -BD AFFILIATE OF INTERNATIONAL ASSETS ADVISORY, LLC - CCO SINCE 9/2025 - APPROX 40 HRS/MO - SALARY

## End of Report



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