BrokerCheck Report

IAN E JAMES

CRD# 2602300

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our investor alert on imposters.

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.
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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

For additional information about the contents of this report, please refer to the User Guidance or 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.

IAN E. JAMES

CRD# 2602300

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

B **INTERNATIONAL ASSETS ADVISORY, LLC**
8550 UNITED PLAZA BOULEVARD
BATON ROUGE, LA 70809
CRD# 10645
Registered with this firm since: 05/15/2020

IA **GLOBAL ASSETS ADVISORY, LLC**
704 TEXAS AVENUE
BRIDGE CITY, TX 77611
CRD# 300460
Registered with this firm since: 05/19/2020

IA **INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC**
704 TEXAS AVENUE
BRIDGE CITY, TX 77611
CRD# 144426
Registered with this firm since: 08/24/2023

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
- 10 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

IA **GLOBAL PLANNING STEWARDS LLC**
CRD# 286135
BATON ROUGE, LA
05/2020 - 05/2020

IA **INVESTACORP ADVISORY SERVICES INC**
CRD# 109011
MIAMI, FL
08/2014 - 05/2020

B **INVESTACORP, INC.**
CRD# 7684
BATON ROUGE, LA
07/2014 - 05/2020

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

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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 10 U.S. states and territories through his or her employer.

Employment 1 of 3

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

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

Firm CRD#: **300460**

	U.S. State/ Territory	Category	Status	Date
IA	Louisiana	Investment Adviser Representative	Approved	05/19/2020
IA	Texas	Investment Adviser Representative	Approved	06/10/2020

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Employment 2 of 3

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	FINRA	General Securities Principal	Approved	05/15/2020
B	FINRA	General Securities Representative	Approved	05/15/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	05/15/2020

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Broker Qualifications

Employment 2 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Arkansas	Agent	Approved	06/29/2020
B	Colorado	Agent	Approved	06/30/2020
B	Florida	Agent	Approved	06/11/2020
B	Georgia	Agent	Approved	06/11/2020
B	Idaho	Agent	Approved	06/10/2020
B	Louisiana	Agent	Approved	05/19/2020
B	Mississippi	Agent	Approved	06/10/2020
B	New York	Agent	Approved	06/10/2020
B	North Carolina	Agent	Approved	06/25/2020
B	Texas	Agent	Approved	06/10/2020

Branch Office Locations

INTERNATIONAL ASSETS ADVISORY, LLC
8550 UNITED PLAZA BOULEVARD
SUITE 702
BATON ROUGE, LA 70809

INTERNATIONAL ASSETS ADVISORY, LLC
704 TEXAS AVENUE
BRIDGE CITY, TX 77611

Employment 3 of 3

Firm Name: **INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC**

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

Firm CRD#: **144426**

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Broker Qualifications

Employment 3 of 3, continued

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Approved	08/24/2023

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

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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.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam		Category	Date
B	General Securities Principal Examination	Series 24	11/19/2007

General Industry/Product Exams

Exam		Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	11/15/1996
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	09/09/1995

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	02/03/1996

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/.

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Broker Qualifications

Professional Designations

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

No information reported.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	05/2020 - 05/2020	GLOBAL PLANNING STEWARDS LLC	286135	BATON ROUGE, LA
IA	05/2020 - 05/2020	GLOBAL ASSETS ADVISORY, LLC	300460	ORLANDO, FL
IA	08/2014 - 05/2020	INVESTACORP ADVISORY SERVICES INC	109011	BATON ROUGE, LA
B	07/2014 - 05/2020	INVESTACORP, INC.	7684	BATON ROUGE, LA
B	10/2011 - 07/2014	SUMMIT BROKERAGE SERVICES, INC.	34643	BATON ROUGE, LA
IA	10/2011 - 07/2014	SUMMIT FINANCIAL GROUP INC	109485	BATON ROUGE, LA
IA	01/2011 - 09/2011	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	BATON ROUGE, LA
B	01/2011 - 09/2011	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	BATON ROUGE, LA
B	03/2008 - 01/2011	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	BATON ROUGE, LA
IA	03/2008 - 01/2011	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	BATON ROUGE, LA
IA	04/2007 - 03/2008	LPL FINANCIAL CORPORATION	6413	BATON ROUGE, LA
B	01/2007 - 03/2008	LPL FINANCIAL CORPORATION	6413	BATON ROUGE, LA
IA	01/2007 - 01/2007	EDWARD JONES	250	BATON ROUGE, LA
B	01/2001 - 01/2007	EDWARD JONES	250	BATON ROUGE, LA
B	10/1996 - 01/2001	EDWARD JONES	250	ST. LOUIS, MO
B	11/2000 - 11/2000	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B	09/1995 - 08/1996	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B	09/1995 - 08/1996	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY

Employment History

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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
08/2023 - Present	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	BATON ROUGE, LA, United States
05/2020 - Present	GLOBAL ASSETS ADVISORY, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	BRIDGE CITY, TX, United States
05/2020 - Present	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REPRESENTATIVE	Y	BRIDGE CITY, TX, United States
01/2007 - Present	CAPITAL FINANCIAL GROUP	OWNER-FINANCIAL ADVISOR	Y	BATON ROUGE, LA, United States
05/2020 - 05/2020	GLOBAL PLANNING STEWARDS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	BATON ROUGE, LA, United States
07/2014 - 05/2020	INVESTACORP ADVISORY SERVICES	REGISTERED INVESTMENT ADVISOR	Y	MIAMI, FL, United States
07/2014 - 05/2020	INVESTACORP INC	REGISTERED REPRESENTATIVE	Y	MIAMI, FL, United States
10/2011 - 07/2014	SUMMIT FINANCIAL GROUP INC	REG REP	Y	BATON ROUGE, LA, 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) CAPITAL FINANCIAL GROUP, LLC 8550 UNITED PLAZA BLVD, SUITE 702, BATON ROUGE, LA 70809 - PRIVATE LABEL ENTITY FOR FINANCIAL BUSINESS - OWNER SINCE 1/2007 - APPROX 120 HRS/MO - FEES/COMMISSIONS
2) WEST VALLEY INSURANCE 105 N. DIVISION STREET, SUITE 4, PINEHURST, ID 83850 - INDEPENDENT PROPERTY AND CASUALTY AGENCY - OWNER SINCE 3/2018 - APPROX 5 HRS/MO - COMMISSIONS
3) JAMES FINANCIAL, LLC 8550 UNITED PLAZA BLVD, SUITE 702, BATON ROUGE, LA 70809 - HOLDING COMPANY - MANAGING

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Registration and Employment History

Other Business Activities, continued

MEMBER SINCE 1/2007 - APPROX 0 HRS/MO - NO COMPENSATION
4) GLOBAL ASSETS ADVISORY, LLC 111 N. ORANGE AVENUE, SUITE 1000, ORLANDO, FL 32801 - REGISTERED INVESTMENT ADVISOR - INVESTMENT ADVISOR SINCE 5/2020 - APPROX 40 HRS/MO - FEE BASED COMPENSATION
5) JACKASS, LLC COEUR D'ALENE RIVER, KINGSTON, ID 83839 - LLC FOR REAL ESTATE HOLDINGS - MEMBER/PARTNER SINCE 12/2021 - LESS THAN 1 HR/MO - NO COMPENSATION
6) AUTHOR 19 PHILBROOK WAY, THE WOODLANDS, TX 77382 - CONTRIBUTING BOOK AUTHOR SINCE 4/2022 - APPROX < 1 HR/MO - POTENTIAL BOOK ROYALTIES
7) GOLD CLUB, LLC 37034 EAST HIGHWAY 30, GEISMER, LA 70734 - RESTAURANT/BAR - SILENT PARTNER/OWNER SINCE 5/2023 OWNERSHIP SINCE 02/2024 - APPROX 1 HR/MO - PERIODIC DISTRIBUTIONS

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Disclosure Events

What you should know about reported disclosure events:

1. 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.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   -
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	11/30/2021
Docket/Case Number:	2019061329901
Employing firm when activity occurred which led to the regulatory action:	INVESTACORP, INC.; INVESTACORP ADVISORY SERVICES INC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, James consented to the sanctions and to the entry of findings that he failed to timely amend his Uniform Application for Securities Industry Registration or Transfer (Form U4) to disclose a federal tax lien totaling $59,997.08. The finding stated that James became aware that the Internal Revenue Service had filed the tax lien against him, and subsequently inaccurately stated on his member firm's annual compliance questionnaire that he had made all necessary amendments to his Form U4, even though he had not done so. James belatedly disclosed the lien on his Form U4 after FINRA inquired with the firm about the lien. The findings also stated that James engaged in an outside business activity without providing written notice to the firm. Through an entity James owned, he made a capital contribution to a medical marijuana company, in the

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	form of a promissory note, in exchange for partial ownership interest in the company. James also formed and became the managing member of a new limited liability company to engage in operational activity for the medical marijuana company. James expected to serve as the medical marijuana company's chief financial officer, and he expected to obtain compensation in that capacity and in connection with his ownership interest in the company. However, James, through the entity he owned, subsequently filed a lawsuit that alleged, among other things, that the medical marijuana company and its founder breached agreements that James had executed, such that he could not obtain future profits he had anticipated. James received a monetary settlement in connection with his lawsuit.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	11/30/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No

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(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

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(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Two Months
Start Date:	12/20/2021
End Date:	02/19/2022

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
Portion Levied against individual:	$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	04/21/2022
Was any portion of penalty waived?	No
Amount Waived:	

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Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	11/30/2021
Docket/Case Number:	2019061329901
Employing firm when activity occurred which led to the regulatory action:	INVESTACORP, INC.; INVESTACORP ADVISORY SERVICES, INC.
Product Type:	No Product
Allegations:	Without admitting or denying the findings, James consented to the sanctions and to the entry of findings that he failed to timely amend his Uniform Application for Securities Industry Registration or Transfer (Form U4) to disclose a federal tax lien totaling $59,997.08. The finding stated that James became aware that the Internal Revenue Service had filed the tax lien against him, and subsequently inaccurately stated on his member firm's annual compliance questionnaire that he had made all necessary amendments to his Form U4, even though he had not done so. James belatedly disclosed the lien on his Form U4 after FINRA inquired with the firm about the lien. The findings also stated that James engaged in an outside business activity without providing written notice to the firm. Through an entity James owned, he made a capital contribution to a medical marijuana company, in the form of a promissory note, in exchange for partial ownership interest in the company. James also formed and became the managing member of a new limited liability company to engage in operational activity for the medical marijuana company. James expected to serve as the medical marijuana company's chief financial officer, and he expected to obtain compensation in that capacity and in connection with his ownership interest in the company. However, James, through the entity he owned, subsequently filed a lawsuit that alleged, among other things, that the medical marijuana company and its founder breached agreements that James had executed, such that he could not obtain future profits he had anticipated. James received a monetary settlement in connection with his lawsuit.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

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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:	11/30/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	TWO MONTHS
Start Date:	12/20/2021
End Date:	02/19/2022
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
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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End of Report

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