

**BrokerCheck Report**

**CHARLES LEWIS BLOOM**

CRD# 4144108

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## 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:

- o 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
- o 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.



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)

**Thank you for using FINRA BrokerCheck.**

**CHARLES L. BLOOM**

CRD# 4144108

This broker is not currently registered.

**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 not currently registered.**

**This broker has passed:**

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

**Registration History**

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

- B CHELSEA FINANCIAL SERVICES**  
CRD# 47770  
Royal Palm Beach, FL  
01/2016 - 07/2018
- B INTERNATIONAL ASSETS ADVISORY, LLC**  
CRD# 10645  
West Palm Beach, FL  
01/2015 - 12/2015
- B IAA FINANCIAL LLC**  
CRD# 6578  
West Palm Beach, FL  
04/2014 - 01/2015

**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? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	3
Customer Dispute	2
Termination	1
Financial	2

## 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 broker is not currently registered.



## 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, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	12/02/2003

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	07/05/2018
<b>B</b> General Securities Representative Examination	Series 7	03/16/2000

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	08/07/2000

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
<b>B</b> 01/2016 - 07/2018	CHELSEA FINANCIAL SERVICES	47770	Royal Palm Beach, FL
<b>B</b> 01/2015 - 12/2015	INTERNATIONAL ASSETS ADVISORY, LLC	10645	West Palm Beach, FL
<b>B</b> 04/2014 - 01/2015	IAA FINANCIAL LLC	6578	West Palm Beach, FL
<b>B</b> 01/2007 - 02/2014	U.S. BROKERAGE, INC.	39307	WELLINGTON, FL
<b>B</b> 10/2002 - 12/2006	1ST DISCOUNT BROKERAGE, INC.	39164	DELRAY BEACH, FL
<b>B</b> 08/2002 - 08/2002	1ST DISCOUNT BROKERAGE, INC.	39164	LAKE WORTH, FL
<b>B</b> 03/2000 - 08/2002	ACUMENT SECURITIES, INC.	7661	SAN FRANCISCO, CA

### Employment History

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
01/2016 - Present	Chelsea Financial Services	Registered Representative	Y	Staten Island, NY, United States
12/2014 - 12/2015	INTERNATIONAL ASSETS ADVISORY	ACCOUNT EXECUTIVE	Y	ORLANDO, FL, United States
04/2014 - 12/2015	IAA FINANCIAL	REGISTERED REP	Y	BOCA RATON, FL, United States
12/2006 - 02/2014	US BROKERAGE, INC.	REGISTERED REPRESENTATIVE	Y	COLUMBUS, OH, 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.

## Registration and Employment History



### Other Business Activities, continued

No information reported.

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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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o 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.
  - o 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	3	0
Customer Dispute	1	1	N/A
Termination	N/A	1	N/A
Financial	0	2	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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 3

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	07/17/2018
<b>Docket/Case Number:</b>	<a href="#">2017056067501</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Chelsea Financial Services
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Without admitting or denying the findings, Bloom consented to the sanction and to the entry of findings that he refused to appear for testimony as requested by FINRA in connection with an investigation into allegations that Bloom engaged in an unsuitable pattern of trading in at least three customer accounts.
<b>Current Status:</b>	Final
<b>Resolution:</b>	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:**

07/17/2018

**Sanctions Ordered:**

Bar (Permanent)

**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

**(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**

**(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**

<b>Sanction Type:</b>	Bar (Permanent)
<b>Capacities Affected:</b>	All capacities
<b>Duration:</b>	Indefinite
<b>Start Date:</b>	07/17/2018
<b>End Date:</b>	



### Disclosure 2 of 3

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FLORIDA OFFICE OF FINANCIAL REGULATION
<b>Sanction(s) Sought:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Date Initiated:</b>	02/06/2009
<b>Docket/Case Number:</b>	0400-S-9/08
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	U.S. BROKERAGE, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	VIOLATION OF CHAPTER 517, FLORIDA STATUTES AND VIOLATION OF THE TERMS OF HIS REGISTRATION AGREEMENT
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	02/06/2009
<b>Sanctions Ordered:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ALL CAPACITIES
<b>Duration:</b>	TWENTY BUSINESS DAYS



**Start Date:** 08/18/2008

**End Date:** 09/15/2008

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00

**Payment Plan:** YES

**Is Payment Plan Current:** Yes

**Date Paid by individual:** 01/14/2010

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement**

ON 2/6/2009, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF CHARLES LEWIS BLOOM. MR. BLOOM NEITHER ADMITTED NOR DENIED THE FINDINGS BUT CONSENTED TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT MR. BLOOM VIOLATED CHAPTER 517, F.S. AND VIOLATED THE TERMS OF HIS MARCH 2008 REGISTRATION AGREEMENT. MR. BLOOM AGREED TO CEASE AND DESIST FROM ANY AND ALL FUTURE VIOLATIONS OF CHAPTER 517, F.S. AND THE ADMINISTRATIVE RULES THEREUNDER AND TO PAY AN ADMINISTRATIVE FINE OF \$5,000. PURSUANT TO THE AGREEMENT MR. BLOOM'S REGISTRATION WITH U.S. BROKERAGE INC. WAS SUSPENDED RETROACTIVELY FOR A PERIOD OF TWENTY BUSINESS DAYS FROM 8/18/2008 THROUGH 9/15/2008. IN ADDITION, MR. BLOOM'S REGISTRATION WAS SUBJECT TO THE TERMS OF A REGISTRATION AGREEMENT FOR A PERIOD OF TWO YEARS. MR. BLOOM WAS GRANTED RELIEF FROM THE TERMS OF THE AGREEMENT ON 3/14/2011.

**Reporting Source:** Broker

**Regulatory Action Initiated By:** STATE OF FLORIDA, OFFICE OF FINANCIAL REGULATION

**Sanction(s) Sought:** Suspension

**Date Initiated:** 01/13/2009



**Docket/Case Number:** 0400-S-9/08

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

**Product Type:** Other: ADMINISTRATIVE PROCEEDINGS

**Allegations:** VIOLATED CHAPTER 517 OF FL STATUTES AND TERMS OF HIS REGISTRATION.

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** Yes

**Resolution Date:** 01/13/2009

**Sanctions Ordered:** Suspension

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** ALL

**Duration:** SUSPENDED FROM 08/18/2008 THROUGH 09/15/2008

**Start Date:** 08/18/2008

**End Date:** 09/15/2008

### Disclosure 3 of 3

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 07/14/2008

**Docket/Case Number:** [2006007507001](#)



**Employing firm when activity occurred which led to the regulatory action:** 1ST DISCOUNT BROKERAGE, INC.

**Product Type:** No Product

**Allegations:** NASD RULE 2110: BLOOM MADE PAYMENT OF APPROX. \$33,000 TO A CUSTOMER IN ORDER TO SETTLE A POTENTIAL CLAIM BY THE CUSTOMER, WITHOUT HIS MEMBER FIRM KNOWLEDGE OR APPROVAL.

**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:** 07/14/2008

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 20 BUSINESS DAYS. THE SUSPENSION IN ANY CAPACITY WILL BE IN EFFECT FROM AUGUST 18, 2008, THROUGH SEPTEMBER 15, 2008. FINES PAID ON JULY 16, 2009.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Monetary Penalty other than Fines  
Suspension

**Date Initiated:** 07/14/2008

**Docket/Case Number:** [2006007507001](#)





**Employing firm when activity occurred which led to the regulatory action:** 1ST DISCOUNT BROKERAGE

**Product Type:** Equity Listed (Common & Preferred Stock)

**Allegations:** BLOOM VIOLATED NASD CONDUCT RULE 2110 B Y MAKING PAYMENTS OF APPROXIMATELY \$33,000.00 TO A CUSTOMER IN ORDER TO SETTLE A POTENTIAL CLAIM BY THE CUSTOMER, WITHOUT THE KNOWLEDGE OR APPROVAL OF HIS MEMBER FIRM.

**Current Status:** Final

**Resolution:** Settled

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** Yes

**Resolution Date:** 07/15/2008

**Sanctions Ordered:** Suspension  
Other: SUSPENDED FOR 30 DAYS.

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** GENERAL SECURITIES

**Duration:** 30 DAYS

**Start Date:** 08/18/2008

**End Date:** 09/15/2008



## Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	1ST DISCOUNT BROKERAGE, INC.
<b>Allegations:</b>	CUSTOMER ALLEGED THAT BROKER'S DISCRETIONARY TRADING RESULTED IN HEAVY LOSSES. THE BROKER PROMISED TO COVER THE LOSSES WITHOUT DISCLOSING THE ARRANGEMENT TO THE FIRM.
<b>Product Type:</b>	Equity - OTC
<b>Alleged Damages:</b>	\$110,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	11/03/2006
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	
<b>Settlement Amount:</b>	\$0.00
<b>Individual Contribution Amount:</b>	\$0.00

### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NASD ARBITRATION # 06-04783
<b>Date Notice/Process Served:</b>	11/06/2006
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	09/02/2007
<b>Monetary Compensation Amount:</b>	\$50,000.00
<b>Individual Contribution Amount:</b>	\$35,000.00



**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** 1ST DISCOUNT BROKERAGE, INC.

**Allegations:** CLIENT ALLEDGES THAT BLOOM INITIATED ACTIVE TRADING IN THE CLIENT'S ACCOUNT WHICH RESULTED IN SIGNIFICANT LOSSES FROM JA. 2004 THROUGH APRIL 2004.

**Product Type:** Equity - OTC

**Alleged Damages:** \$138,000.00

### Customer Complaint Information

**Date Complaint Received:** 11/06/2006

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/30/2007

**Settlement Amount:** \$50,000.00

**Individual Contribution Amount:** \$23,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD ARBITRATION #06-04783

**Date Notice/Process Served:** 11/06/2006

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/27/2007

**Monetary Compensation Amount:** \$50,000.00

**Individual Contribution Amount:** \$23,000.00

**Broker Statement** RESPONDENTS SHALL PAY TO CLAIMANT, AND CLAIMANT SHALL ACCEPT FROM RESPONDENTS, THE SETTLEMENT SUM, WHICH SHALL BE IN FULL AND COMPLETE PAYMENT AND SETTLEMENT OF ANY AND ALL CLAIMS BY



CLAIMANT AGAINST RESPONDENTS AND WHICH SHALL BE PAID AS PROMPTLY AS POSSIBLE BUT IN NO EVENT LATER THAN 8 DAYS AFTER THE DATE HEREOF BY CHECK OR WIRE TRANSFER TO "[THIRD PARTY] TRUST ACCOUNT"



## Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	INTERNATIONAL ASSETS ADVISORY, LLC/CHELSEA FINANCIAL SERVICES
<b>Allegations:</b>	NEGLIGENCE, NEGLIGENT SUPERVISION, FRAUD, BREACH OF FIDUCIARY DUTY
<b>Product Type:</b>	Direct Investment-DPP & LP Interests
<b>Alleged Damages:</b>	\$100,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	APPROXIMATE AMOUNT

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	18-00771
<b>Date Notice/Process Served:</b>	12/04/2019
<b>Arbitration Pending?</b>	Yes

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	International Assets Advisory
<b>Allegations:</b>	Unsuitable Recommendation and misrepresentation with regard to a REIT purchase
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$99,326.84



**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC  
reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 11/08/2017

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 03/06/2018

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Arbitration Information**

**Arbitration/CFTC reparation  
claim filed with (FINRA, AAA,  
CFTC, etc.):** FINRA

**Docket/Case #:** 18-00771

**Date Notice/Process Served:** 03/06/2018

**Arbitration Pending?** Yes



## Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employer Name:</b>	1ST DISCOUNT BROKERAGE
<b>Termination Type:</b>	Voluntary Resignation
<b>Termination Date:</b>	12/13/2006
<b>Allegations:</b>	UNAUTHORIZED DAYTRADING IN CUSTOMERS ACCOUNT, JAN-APR 2004
<b>Product Type:</b>	Equity - OTC
<b>Other Product Types:</b>	EQUITY OTC



## Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Action Type:</b>	Bankruptcy
<b>Bankruptcy:</b>	Chapter 13
<b>Action Date:</b>	04/15/2015
<b>Organization Investment-Related?</b>	No
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	United states bankruptcy court southern district of florida
<b>Location of Court:</b>	west palm beach, florida
<b>Docket/Case #:</b>	9:15-bk-17306
<b>Action Pending?</b>	No
<b>Disposition:</b>	Dismissed
<b>Disposition Date:</b>	07/20/2015

### Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
<b>Action Type:</b>	Bankruptcy
<b>Bankruptcy:</b>	Chapter 7
<b>Action Date:</b>	07/12/2013
<b>Organization Investment-Related?</b>	
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	UNITED STATES BANKRUPTCY COURT,, SOUTHERN DISTRICT OF FLORIDA
<b>Location of Court:</b>	WEST PALM BEACH, PALM BEACH COUNTY
<b>Docket/Case #:</b>	13-26202-PQH





<b>Action Pending?</b>	No
<b>Disposition:</b>	Discharged
<b>Disposition Date:</b>	10/22/2013
<b>Broker Statement</b>	I FILED TO SAVE MY HOUSE. I WAS A VICTIM OF A PREDATORY LOAN. IT WAS DISCHARGED ON OCT. 22, 2013.

## End of Report



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