IAPD Report

RUSSELL SCOTT BLUM

CRD# 1276754

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.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

RUSSELL SCOTT BLUM (CRD# 1276754)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	09/24/2018
IA	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	10/23/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	SUNTRUST ADVISORY SERVICES, INC.	283390	BOCA RATON, FL	12/22/2016 - 09/13/2018
B	SUNTRUST INVESTMENT SERVICES, INC.	17499	BOCA RATON, FL	07/15/2015 - 09/13/2018
IA	SUNTRUST INVESTMENT SERVICES, INC.	17499	BOCA RATON, FL	07/17/2015 - 01/06/2017

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Criminal	1
Customer Dispute	3
Termination	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **9** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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

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

Firm ID#: 10645

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/24/2018
B	FINRA	Invest. Co and Variable Contracts	Approved	09/24/2018
B	California	Agent	Approved	10/24/2018
B	Colorado	Agent	Approved	12/06/2018
B	Connecticut	Agent	Approved	11/07/2018
B	Florida	Agent	Approved	10/23/2018
B	Michigan	Agent	Approved	11/01/2024
B	Nevada	Agent	Approved	02/05/2019
B	New York	Agent	Approved	11/28/2018
B	Ohio	Agent	Approved	10/25/2018
B	Wisconsin	Agent	Approved	11/16/2018

Branch Office Locations

INTERNATIONAL ASSETS ADVISORY, LLC
Indialantic, FL

Qualifications

Employment 2 of 2

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

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

Firm ID#: 144426

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	10/23/2018

Branch Office Locations

INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC
INDIALANTIC, FL

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	02/18/1997

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	10/29/1984
B	General Securities Representative Examination (S7)	Series 7	09/15/1984
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/18/1984

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/18/1992
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/18/1984

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	12/22/2016 - 09/13/2018	SUNTRUST ADVISORY SERVICES, INC.	CRD# 283390	BOCA RATON, FL
B	07/15/2015 - 09/13/2018	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	BOCA RATON, FL
IA	07/17/2015 - 01/06/2017	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	BOCA RATON, FL
B	07/01/2003 - 07/17/2015	WELLS FARGO ADVISORS, LLC	CRD# 19616	BOCA RATON, FL
IA	07/01/2003 - 07/17/2015	WELLS FARGO ADVISORS, LLC	CRD# 19616	BOCA RATON, FL
B	01/16/2001 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
IA	01/16/2001 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	BOCA RATON, FL
B	07/31/1993 - 01/18/2001	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	09/26/1984 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	06/19/1984 - 07/25/1984	IDS MARKETING CORPORATION	CRD# 6363	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2018 - Present	INTERNATIONAL ASSETS ADVISORY	REGISTERED REPRESENTATIVE	Y	ORLANDO, FL, United States
09/2018 - Present	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT LLC	INVESTMENT ADVISOR	Y	ORLANDO, FL, United States
08/2016 - 08/2018	SunTrust Advisory Services	Investment Advisory Representative	Y	Atlanta, GA, United States
07/2015 - 08/2018	SUNTRUST INVESTMENT SERVICES, INC.	PRIVATE FINANCIAL ADVISOR	Y	BOCA RATON, FL, United States

Registration & Employment History

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) NWB ASSOC LLC/KMJR 430 2ND AVE, INDIALANTIC, FL 32903 - REAL ESTATE INVESTMENT COMPANY - MANAGING PARTNER SINCE NWB 2005 AND KMJR 2017 - APPROX 1HR/MO - PASSIVE RETURNS
2) INTERNATIONAL ASSETS INVESTMENT MANAGEMENT LLC 111 N ORANGE AVE, STE 1000, ORLANDO, FL 32801 - RIA AFFILIATE OF INTERNATIONAL ASSETS ADVISORS - ADVISOR SINCE 9/2018 - APPROX 40 HRS/MO - FEE BASED COMPENSATION
3) ROCKPORT GLOBAL, 8309 GUNN HWY, TAMPA FL 33626 - DBA FOR INVESTMENT BUSINESS - FINANCIAL ADVISOR SINCE 01/2026 - APPROX 160 HRS/MO - DBA ONLY WITH NO SEPARATE REVENUE

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Criminal	1
Customer Dispute	3
Termination	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	N/A
Formal Charges were brought in:	State Court
Name of Court:	AMHERST COUNTY COURTHOUSE, NEW YORK
Location of Court:	AMHERST, NEW YORK
Docket/Case #:	UNKNOWN
Charge Date:	12/21/1985
Charge(s) 1 of 1	
Formal Charge(s)/Description:	ATTEMPTED PETIT LARCENCY WHICH IS NOT THE WRONGFUL TAKING OF THE PROPERTY OR ANOTHER AS DEFINED IN 14B1A
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	THE ACTUAL CHARGE WAS FOR ATTEMPTED PETIT LARCENCY, WHICH IS A

	MISDEMEANOR CHARGE.
Date of Amended Charge:	04/03/2001
Charge was Amended or reduced to:	CORRECT CHARGE IS A MISDEMEANOR OFFENSE, BUT AS DEFINED UNDER 14B1A IT SHOULD NOT BE INCLUDED ON U-4, AND THE FINAL WAS A VIOLATION OF THE NYS PENAL CODE WHICH IS NOT A CRIMINAL OFFENSE.
Amended No of Counts:	1
Amended Charge:	NO MISDEMEANOR OR FELONY IT WAS A PENAL CODE VIOLATION
Amended Plea:	ACTUAL CHARGE WAS FOR ATTEMPTED PETIT LARCENCY. WHICH IS A MISDEMEANOR CHARGE BUT NOT MEETING THE DEFINITION UNDER 14B1A
Disposition of Amended Charge:	THE FINAL WAS A VIOLATION OF THE NYS PENAL CODE WHICH IS NOT A CRIMINAL OFFENSE.
Current Status:	Final
Status Date:	11/15/1986
Disposition Date:	11/15/1986
Sentence/Penalty:	NO SENTENCE OR FINE. ACQUITTED.
Broker Statement	The foundation for the criminal charge was dismissed. An item was left in the bottom of my completely full shopping cart at a supermarket, and forgotten at check out. As I left the store I was stopped by security, I offered to pay and I was informed the store practiced a zero tolerance and fully prosecuted any suspected "offender". The Judge threw out the criminal charge. I attempted to expunge this record, however the court "in the normal course of business", destroyed the records. Upon request, I can provide documentation attesting to this.

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SunTrust Investment Services
Allegations:	CLAIMANT ALLEGES FA OVER-CONCENTRATED HER PORTFOLIO IN UNSUITABLE INVESTMENTS
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant is seeking an unspecified amount of compensatory damages
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-01963
Filing date of arbitration/CFTC reparation or civil litigation:	06/22/2020

Customer Complaint Information

Date Complaint Received:	07/06/2020
Complaint Pending?	No
Status:	Settled
Status Date:	06/11/2021
Settlement Amount:	$75,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors
Allegations:	Claimant alleges FA over-concentrated her portfolio in unsuitable investments.

Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant is seeking damages an unspecified amount in compensatory damages.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-01963
Filing date of arbitration/CFTC reparation or civil litigation:	06/24/2020

Customer Complaint Information

Date Complaint Received:	06/24/2020
Complaint Pending?	No
Status:	Settled
Status Date:	06/07/2021
Settlement Amount:	$25,000.00
Individual Contribution Amount:	$0.00
Firm Statement	Without admitting liability, the Firm settled for $25,000 to avoid the expense and distraction of further litigation.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS
Allegations:	CLAIMANT ALLEGES FA OVER-CONCENTRATED HER PORTFOLIO IN UNSUITABLE INVESTMENTS
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT IS SEEKING DAMAGES OF AN UNSPECIFIED AMOUNT IN COMPENSATORY DAMAGES.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes

Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-01963
Filing date of arbitration/CFTC reparation or civil litigation:	06/24/2020

Customer Complaint Information

Date Complaint Received:	06/24/2020
Complaint Pending?	No
Status:	Settled
Status Date:	06/07/2021
Settlement Amount:	$25,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SUNTRUST INVESTMENT SERVICES, INC.
Allegations:	CLIENT STATED THAT FOLLOWING REPRESENTATIVE'S REASONING RESULTED IN HIS HOLDING INVESTMENTS WHICH RESULTED IN LOSSED TO HIS ACCOUNTS.
Product Type:	Oil & Gas
Alleged Damages:	$1,369,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged losses to the client appears to be 1.3 million
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:	05/25/2016
Complaint Pending?	No
Status:	Denied
Status Date:	07/07/2016
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	Client is not seeking any damages, client has not filed any claim, nor do they intend to, the complaint was a response to an email whereby the client voiced

discontentment.
This client is a very experienced investor; he repeatedly participates in bank conversions, high yield bond offerings, and private placements. These investment strategies confirm his level of experience and knowledge. I provided the client with research and the ultimate buy or sell decision was always his. The client, against advice, repeatedly built large positions that I documented that I was uncomfortable with. Client's net worth is such that the alleged loss still accounted for less than 5% of his net

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors, LLC
Allegations:	Claimant alleges that investment recommendations made in or about 2004 over-concentrated his account in oil and gas stocks and low-priced speculative securities which were misrepresented and unsuitable.
Product Type:	Other: Miscellaneous
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant is seeking damages in an unspecified amount, but believed to be over $5,000.00.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16-01234
Filing date of arbitration/CFTC reparation or civil litigation:	05/04/2016

Customer Complaint Information

Date Complaint Received:	05/04/2016
Complaint Pending?	No
Status:	Settled
Status Date:	05/16/2017
Settlement Amount:	$25,000.00
Individual Contribution Amount:	$0.00
Firm Statement	Without admitting any liability, the Firm settled the matter for $25,000.00 solely to avoid the costs and expenses of continued litigation and end the arbitration. The FA did not contribute to the settlement amount.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	Claimant alleges that investment recommendations made in or about 2004 over-concentrated his account in oil and gas stocks and low-priced speculative securities which were misrepresented and unsuitable.
Product Type:	Other: MISCELLANEOUS
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT IS SEEKING DAMAGES IN AN UNSPECIFIED AMOUNT, BUT BELIEVED TO BE OVER $5,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16-01234
Filing date of arbitration/CFTC reparation or civil litigation:	05/04/2016

Customer Complaint Information

Date Complaint Received:	05/04/2016
Complaint Pending?	No
Status:	Settled
Status Date:	05/16/2017
Settlement Amount:	$25,000.00
Individual Contribution Amount:	$0.00
Broker Statement	The arbitration allegations related to specific investments stemming from alleged recommendation that were attributed to Mr. Blum from 2004. [customer] alleged that he suffered losses. Not only did [customer] have a history of trading well before 2004 the start of his account with WFA, but he also made his own informed decisions about when to buy sell the stocks he transferred to WFA. [customer] via email dated 1/19/2004 disclosed his investment skills, ability, and enjoyment to do his own research, and desire to look at "higher risk" investments including options trading. Moreover, [customer] misstated the history and amount of information available to him related to his multiple purchases and sales of stocks. In fact, loses he alleges were attributed to Mr. Blum's recommendations, were owned by [customer]PRIOR, to opening an account with Blum. Mr. Blum served as a conduit by providing requested research to [customer], which he then based his own investment decision. WFA is in possession of over 500 emails from [customer], most of which direct Blum to buy or sell investments, clearly demonstrating the self-directed nature of his account. The complaint was settled for a nuisance amount, a fraction of the amount the [customer] was seeking, Mr. Blum was not required, nor did he

contribute to the settlement.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	SunTrust Investment Services
Termination Type:	Permitted to Resign
Termination Date:	08/22/2018
Allegations:	Representative did not follow firm procedure regarding updates to his Investment Advisor brochure supplement
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	SUNTRUST INVESTMENT SERVICES
Termination Type:	Permitted to Resign
Termination Date:	08/22/2018
Allegations:	REPRESENTATIVE DID NOT FOLLOW FIRM PROCEDURES REGARDING UPDATES TO HIS INVESTMENT ADVISOR BROCHURE SUPPLEMENT.
Product Type:	No Product

End of Report

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