IAPD Report

JAMES ANTHONY NELSON

CRD# 1365220

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

JAMES ANTHONY NELSON (CRD# 1365220)

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 **05/14/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	03/09/2017
IA	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	04/18/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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
B	LPL FINANCIAL LLC	6413	EVANS CITY, PA	06/04/2004 - 03/28/2017
B	WS GRIFFITH SECURITIES, INC.	10410	HARTFORD, CT	03/15/1993 - 06/15/2004
B	PHOENIX EQUITY PLANNING CORPORATION	3036	HARTFORD, CT	06/17/1985 - 03/15/1993

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
Regulatory Event	1
Customer Dispute	6

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 **5** 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	Direct Participation Programs	Approved	03/09/2017
B	FINRA	General Securities Principal	Approved	03/09/2017
B	FINRA	General Securities Representative	Approved	03/09/2017
B	FINRA	Invest. Co and Variable Contracts	Approved	03/09/2017
B	California	Agent	Approved	05/08/2017
B	Georgia	Agent	Approved	05/05/2017
B	North Carolina	Agent	Approved	06/05/2024
B	Pennsylvania	Agent	Approved	03/23/2017
B	South Carolina	Agent	Approved	12/08/2022

Branch Office Locations

INTERNATIONAL ASSETS ADVISORY, LLC
1525 EVANS CITY ROAD
EVANS CITY, PA 16033

Employment 2 of 2

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

Main Address: 111 NORTH ORANGE AVENUE

Qualifications

SUITE 1000
ORLANDO, FL 32801

Firm ID#: 144426

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	04/18/2017

Branch Office Locations

INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC
1525 EVANS ROAD
EVANS CITY, PA 16033

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 Principal Examination (S24)	Series 24	12/30/2004

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/24/1997
B	Direct Participation Programs Representative Examination (S22)	Series 22	09/25/1985
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/14/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/18/2017
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/19/1985

PROFESSIONAL DESIGNATIONS

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

No information reported.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	06/04/2004 - 03/28/2017	LPL FINANCIAL LLC	CRD# 6413	EVANS CITY, PA
B	03/15/1993 - 06/15/2004	WS GRIFFITH SECURITIES, INC.	CRD# 10410	HARTFORD, CT
B	06/17/1985 - 03/15/1993	PHOENIX EQUITY PLANNING CORPORATION	CRD# 3036	HARTFORD, CT

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
03/2017 - Present	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REPRESENTATIVE	Y	EVANS CITY, PA, United States
06/2004 - 03/2017	LPL FINANCIAL LLC, LINSCO/PRIVATE LEDGER CORP	REGIST REP	Y	EVANS CITY, PA, United States

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) NELSON FINANCIAL SERVICES 1525 EVANS CITY ROAD, EVANS CITY, PA 16033 - DBA FOR INVESTMENT AND INSURANCE BUSINESS - OWNER/ADVISOR SINCE 3/1985 - APPROX 200 HRS/MO - FEES/COMMISSIONS
2) UNDERWRITERS BROKERAGE 320 FRICK BLD, SUITE 10008, PITTSBURGH, PA 15219 - FIXED LIFE INSURANCE PRODUCT SALES - AGENT SINCE 2000 - APPROX 20 HRS/MO - COMMISSION BASED COMPENSATION
3) NELSON CHARITABLE FOUNDATION 1525 EVANS CITY ROAD, EVANS CITY, PA 16033 - RAISE MONEY TO GIVE TO NON-PROFITS - BOARD MEMBER SINCE 1993 - APPROX 6 HRS/MO - NO COMPENSATION
4) PATTI J NELSON CHARITABLE FOUNDATION 1525 EVANS CITY ROAD, EVANS CITY, PA 16033 RAISE MONEY FOR EVANS CITY LIBRARY - BOARD MEMBER SINCE 7/2015 - APPROX 10 HRS/MO - NO COMPENSATION 5) INTERNATIONAL ASSETS INVESTMENT MANAGEMENT LLC 111 N ORANGE AVE, STE 1000, ORLANDO, FL 32801 - RIA AFFILIATE OF INTERNATIONAL ASSETS ADVISORS - ADVISOR SINCE 3/2017 - APPROX 200 HRS/MO - FEE BASED COMPENSATION
6) James Nelson, 400 Old Route 68, Evans City, PA 16033 - Owner of Harness Racehorse - Owner Since 12/2023 - APPROX 2 HRS/MO - FEE BASED on horses' performance (purse money) 7) James Nelson, 400 Old Route 68, Evans City, PA 16033 - Board Member for Evans City Library - Since 01/01/2024 - Approx. 4 HRS/MO - No compensation.

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
Regulatory Event	1
Customer Dispute	6

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative'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:	Other: N/A
Date Initiated:	05/24/2017
Docket/Case Number:	2016050825301
Employing firm when activity occurred which led to the regulatory action:	LPL Financial, LLC
Product Type:	Other: unspecified securities
Allegations:	Without admitting or denying the findings, Nelson consented to the sanctions and to the entry of findings that he made approximately 20 trades in 20 customers' individualized retirement accounts, prior to receiving the customers' authorization.
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:	05/24/2017
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
(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	
Sanction Type:	Suspension
Capacities Affected:	all capacities
Duration:	60 days
Start Date:	06/19/2017
End Date:	08/17/2017
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:	
Is Payment Plan Current:	
Date Paid by individual:	02/23/2018
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Fines paid in full on February 23, 2018.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	05/24/2017
Docket/Case Number:	2016050825301

Employing firm when activity occurred which led to the regulatory action:	LPL FINANCIAL, LLC
Product Type:	Other: UNSPECIFIED SECURITIES
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, NELSON CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE MADE APPROXIMATELY 20 TRADES IN 20 CUSTOMERS' INDIVIDUALIZED RETIREMENT ACCOUNTS, PRIOR TO RECEIVING THE CUSTOMERS' AUTHORIZATION.
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:	05/24/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	60 DAYS
Start Date:	06/19/2017
End Date:	08/17/2017
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:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

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 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WS GRIFFITH SECURITIES INC. AND LPL FINANCIAL, LLC
Allegations:	CUSTOMER ALLEGES MISREPRESENTATION AND UNSUITABILITY REGARDING THE PURCHASE AND ONGOING FUNDING OF A VARIABLE UNIVERSAL LIFE POLICY. ACTIVITY PERIOD: 6/4/04 TO 6/1/14. An additional complaint on a second variable universal life policy activity period 06/04/04 to 08/30/16.
Product Type:	Other: VARIABLE UNIVERSAL LIFE
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED BUT REASONABLE BELIEVED TO BE GREATER THAN $5,000.
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:	06/06/2016
Complaint Pending?	No
Status:	Denied
Status Date:	11/11/2016
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL, LLC
Allegations:	UNAUTHORIZED TRADING.
Product Type:	Mutual Fund
Alleged Damages:	$0.00

Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN $5,000.
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:	01/05/2016
Complaint Pending?	No
Status:	Denied
Status Date:	02/29/2016
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL, LLC
Allegations:	POOR ADVICE, UNAUTHORIZED TRADING AND POOR SERVICE.
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN $5,000.
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:	01/05/2016
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 6

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL, LLC
Allegations:	FORGED MOVE MONEY REQUEST
Product Type:	Other: FUNDS TRANSFER
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN $5,000.
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:	08/26/2015
Complaint Pending?	No
Status:	Denied
Status Date:	10/14/2015
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	In August 2015, the customer alleged that, in January 2015, her signature had been forged on a "move money" form. The form authorized that funds be moved from her bank account to fund an investment that she purchased at that time. The customer continues to own the investment, and does not dispute that she had authorized the investment or that the funds should have been moved from her bank account to fund its purchase. The customer also has not alleged that any of her funds are missing, only that the signature on the "move money" form is not hers. The representative specifically and categorically denies that he signed the customer's name on the form, and, although he did not witness the customer's signature, it is his understanding that she did sign the document.

Disclosure 5 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL
Allegations:	CUSTOMERS STATE THAT ADVISOR ERRONEOUSLY FAILED TO EXECUTE TRADE INSTRUCTION RELATING TO VARIABLE ANNUITY SUB-ACCOUNTS. ACTIVITY PERIOD 6/08 TO 3/09.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00

Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN $5,000
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/24/2009
Complaint Pending?	No
Status:	Settled
Status Date:	01/25/2010
Settlement Amount:	$71,493.45
Individual Contribution Amount:	$71,493.45

Disclosure 6 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LINSCO / PRIVATE LEDGER CORP.
Allegations:	CUSTOMER ALLEGES THAT REPRESENTATIVE FAILED TO ENACT ORAL STOP LOSS RESULTING IN LOSSES TO THE CUSTOMER.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$10,000.00

Customer Complaint Information

Date Complaint Received:	05/19/2005
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	05/21/2007
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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