



IAPD Report

ROBERT LYNDON TAYLOR

CRD# 1423130

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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

ROBERT LYNDON TAYLOR (CRD# 1423130)

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 **09/26/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	03/08/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	OKLAHOMA CITY, OK	03/23/2020 - 01/04/2022
INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	OKLAHOMA CITY, OK	12/06/2017 - 01/02/2019
VOYA FINANCIAL ADVISORS, INC.	2882	OKLAHOMA CITY, OK	08/02/1996 - 08/16/2017

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
Regulatory Event	1
Criminal	1
Customer Dispute	3
Termination	1
Judgment/Lien	1



Report Summary



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

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 Oklahoma	Investment Adviser Representative	Approved	03/08/2022

Branch Office Locations

INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC
13100 N. MACARTHUR BLVD.
OKLAHOMA CITY, OK 73142



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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	08/16/2017
 General Securities Representative Examination (S7)	Series 7	09/29/2009
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/16/1985

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	04/25/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/28/1986

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
IA	03/23/2020 - 01/04/2022	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	OKLAHOMA CITY, OK
IA	12/06/2017 - 01/02/2019	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	OKLAHOMA CITY, OK
IA	08/02/1996 - 08/16/2017	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	OKLAHOMA CITY, OK
B	10/18/1995 - 08/16/2017	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	OKLAHOMA CITY, OK
B	10/16/1991 - 09/21/1995	MONY SECURITIES CORP.	CRD# 4386	NEW YORK, NY
B	10/18/1985 - 11/16/1990	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
11/2017 - Present	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	FINANCIAL ADVISOR	Y	OKLAHOMA CITY, OK, United States
01/2001 - Present	CHOICE LEASING	OWNER	N	OKLAHOMA CITY, OK, United States
08/1985 - Present	ROBERT L TAYLOR INDEPENDENT INSURANCE AGENT	OWNER	N	OKLAHOMA CITY, OK, United States
09/2014 - 09/2017	VOYA FINANCIAL ADVISORS	REG REP	Y	OKLAHOMA CITY, OK, 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) CHOICE FINANCIAL SERVICES, INC. D/B/A CHOICE WEALTH PARTNERS 13100 N. MACARTHUR BLVD, OKC, OK 73142 - PRIVATE LABEL ENTITY FOR SECURITIES BUSINESS - PRESIDENT SINCE 10/2017 - APPROX 200 HRS/MO - FEES
- 2) SOCIETY OF FINANCIAL AWARENESS (SOFA) 3655 RUFFIN ROAD, SUITE 230, SAN DIEGO, CA 92123 - PROVIDING FREE FINANCIAL LITERACY SEMINARS FOR EMPLOYEES AND THE PUBLIC - INSTRUCTOR SINCE 11/22 - 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
Criminal	1
Customer Dispute	3
Termination	1
Judgment/Lien	1

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:

Date Initiated: 07/27/2017

Docket/Case Number: [2016051320601](#)

Employing firm when activity occurred which led to the regulatory action: Voya Financial Advisors, Inc.

Product Type: No Product

Allegations: Without admitting or denying the findings, Taylor consented to the sanctions and to the entry of findings that he willfully failed to timely amend his Form U4 to disclose a felony charge against him and a subsequent guilty plea. The findings stated that Taylor has not been convicted of a felony in that his sentencing has been deferred until June 2021 pending his completion of all conditions of his supervised probation.

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:

07/27/2017

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)

Suspension

Other: This settlement includes a finding that Taylor willfully omitted to state a material fact on a Form U4, and that under Section 3(a)(39)(F) of the Securities Exchange Act of 1934 and Article III, Section 4 of FINRA's By-Laws, this omission makes him subject to a statutory disqualification with respect to association with a member.

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: Three months
Start Date: 08/21/2017
End Date: 11/20/2017

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: 08/14/2017
Was any portion of penalty waived? No

Amount Waived:

.....
Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension
Date Initiated: 07/27/2017
Docket/Case Number: [2016051320601](#)



Employing firm when activity occurred which led to the regulatory action:	Voya Financial Advisors, Inc.
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Taylor consented to the sanctions and to the entry of findings that he willfully failed to timely amend his Form U4 to disclose a felony charge against him and a subsequent guilty plea. The findings stated that Taylor has not been convicted of a felony in that his sentencing has been deferred until June 2021 pending his completion of all conditions of his supervised probation.
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:	07/27/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	Three months
Start Date:	08/21/2017
End Date:	11/20/2017
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:	



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
Formal Charges were brought in:	State Court
Name of Court:	District Court of Oklahoma County
Location of Court:	Oklahoma City, OK
Docket/Case #:	CF-2016-1207
Charge Date:	12/02/2015
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Violation of 47 O.S. 11-902(A)(2) Driving under the influence (DI1)
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Guilty
Disposition of charge:	Deferred Adjudication
Current Status:	Final
Status Date:	06/06/2016
Disposition Date:	06/06/2016
Sentence/Penalty:	Five Year Deferred Sentence 06/06/2016. End of deferred sentence 06/06/2021. Paid DA 2 year supervision fee of \$960 on 06/08/2016. 50 hours of community service One year of ignition interlock. Complete Victims Impact Program. Drug and Alcohol evaluation and follow-up.



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:	VOYA FINANCIAL ADVISORS, INC.
Allegations:	Claimant alleges that, in 2015, Representative recommended alternative investments that were not suitable for Claimant. Claimant further alleges that Representative failed to disclose that the investments were high-risk, speculative, and illiquid.
Product Type:	Real Estate Security
Alleged Damages:	\$99,999.00
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 Office of Dispute Resolution
Docket/Case #:	23-03489
Filing date of arbitration/CFTC reparation or civil litigation:	12/08/2023

Customer Complaint Information

Date Complaint Received:	12/19/2023
Complaint Pending?	No
Status:	Settled
Status Date:	04/21/2025
Settlement Amount:	\$17,500.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WASHINGTON SQUARE SECURITIES INC
Allegations:	CLIENTS HAVE FILED AN NASD ARBITRATION ALLEGING THE RR MISREPRESENTED A VARIABLE ANNUITY THAT THEY FEEL WAS



UNSUITABLE FOR THEIR NEEDS. THEY ALSO ALLEGE BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND FRAUDULANT INDUCEMENT.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$82,046.23

Customer Complaint Information

Date Complaint Received: 02/24/2006

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/24/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DISPUTE RESOLUTION ARBITRATION NUMBER 06-00180

Date Notice/Process Served: 02/24/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/17/2007

Monetary Compensation Amount: \$66,000.00

Individual Contribution Amount: \$0.00

Broker Statement WITHOUT ACCEPTING LIABILITY OR WRONGDOING, THE FIRM AND THE RR AGREED TO THE SETTLED AMOUNT IN ORDER TO AVOID LENGTHY AND EXPENSIVE LEGAL COSTS AFFILIATED WITH PURSUING AND DEFENDING THEMSELVES THROUGH ARBITRATION.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WASHINGTON SQUARE SECURITIES INC

Allegations: BREACH OF FIDUCIARY DUTY, NEGLIGENCE, UNAUTHORIZED AND UNSUITABLE TRADING

Product Type: Mutual Fund(s)

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 05/12/2003

Complaint Pending? No

Status: Settled



Status Date: 03/17/2004

Settlement Amount: \$40,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR NO. 03-03280

Date Notice/Process Served: 05/12/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/17/2004

Monetary Compensation Amount: \$40,000.00

Individual Contribution Amount: \$0.00



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:	Individual
Firm Name:	PRUCO SECURITIES
Termination Type:	Permitted to Resign
Termination Date:	10/26/1990
Allegations:	ALLEGATIONS OF INVESTMENT RELATED VIOLATIONS; MULTIPLE FORGERIES, MISREPRESENTATIONS REGARDING NEW BUSINESS APPS AND DISBURSEMENT REQUESTS
Product Type:	Insurance
Other Product Types:	
Broker Statement	IN OUR LOCAL OFFICE MY MANAGER AND I FOUND SEVERAL DISCREPANCIES IN APPLICATIONS AND PURSUED THE PROPER PROCEDURES TO TERMINATE ALL BROKERS INVOLVED. THE SITUATION WAS VERY SENSATIVE SINCE THE PRIMARY BROKER COMMITTING THE ACT OF FORGERTY WAS MY BROTHER AND HE WAS USING MY CLIENTS AS THE SOURCE FOR HIS LEADS. SINCE I WAS RESPONSIBLE FOR HIS SUPERVISION, I SIGNED OFF ON THE FORGED APPS AND WAS THEREFORE NAMED ON THIS COMPLAINT. I HAD TURNED MY BOOK OF CLIENTS OVER TO MY BROTHER FOR SERVICING AND WAS UNAWARE HE WAS FORGING SIGNATURES.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$1,103,062.98
Judgment/Lien Type:	Tax
Date Filed with Court:	10/20/2021
Date Individual Learned:	10/25/2021
Type of Court:	State Court
Name of Court:	OKLAHOMA COUNTY COURT
Location of Court:	OKLAHOMA COUNTY, OK
Docket/Case #:	422886820
Judgment/Lien Outstanding?	Yes



End of Report

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