



IAPD Report

JAMES ALOYSIUS CONWELL II

CRD# 1436190

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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

JAMES ALOYSIUS CONWELL II (CRD# 1436190)

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 **12/23/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	07/24/2017
IA	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	12/18/2018

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
IA	WFG ADVISORS, LP	125073	DAPHNE, AL	04/26/2011 - 05/26/2017
B	WFG INVESTMENTS, INC.	22704	DAPHNE, AL	04/05/2010 - 05/26/2017
IA	GUNNALLEN FINANCIAL, INC	17609	DAPHNE, AL	06/23/2008 - 03/29/2010

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

Employment 1 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 Alabama	Investment Adviser Representative	Approved	12/18/2018

Branch Office Locations

INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC
9812 MILLWOOD CIRCLE
DAPHNE, AL 36527

Employment 2 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	07/24/2017
B Alabama	Agent	Approved	08/25/2017
B Georgia	Agent	Approved	09/07/2017
B Louisiana	Agent	Approved	10/06/2017
B Maryland	Agent	Approved	07/25/2017



Qualifications

Regulator	Registration	Status	Date
B Mississippi	Agent	Approved	08/28/2017

Branch Office Locations

INTERNATIONAL ASSETS ADVISORY, LLC
9812 MILLWOOD CIRCLE
DAPHNE, AL 36527



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

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	10/01/2018
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General Securities Representative Examination (S7)	Series 7	11/16/1985
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State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	01/31/1986
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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	04/26/2011 - 05/26/2017	WFG ADVISORS, LP	CRD# 125073	DAPHNE, AL
B	04/05/2010 - 05/26/2017	WFG INVESTMENTS, INC.	CRD# 22704	DAPHNE, AL
IA	06/23/2008 - 03/29/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	DAPHNE, AL
B	06/10/2008 - 03/29/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	DAPHNE, AL
B	12/20/2007 - 04/11/2008	COLONIAL BROKERAGE, INC.	CRD# 111668	FAIRHOPE, AL
IA	05/22/2002 - 11/06/2007	COMPASS BROKERAGE, INC.	CRD# 17086	FAIRHOPE, AL
B	04/18/1986 - 11/06/2007	COMPASS BROKERAGE, INC.	CRD# 17086	FAIRHOPE, AL

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
07/2017 - Present	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REPRESENTATIVE	Y	ORLANDO, FL, United States
04/2010 - 05/2017	WFG INVESTMENTS INC	REGISTERED REPRESENTATIVE	Y	DAPHNE, AL, 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) ROCKBRIDGE WEALTH MANAGEMENT 9812 MILLWOOD CIRCLE, SPANISH FORT, AL 36527 - DBA SECURITIES BUSINESS - EMPLOYEE SINCE 07/2008 - SALES AND SERVICE - APPROX 160 HRS/MO - COMMISSION BASED COMPENSATION
- 2) INTERNATIONAL ASSETS INVESTMENT MANAGEMENT LLC 111 N ORANGE AVE, STE 1000, ORLANDO, FL 32801 - RIA AFFILIATE OF INTERNATIONAL ASSETS ADVISORS - ADVISOR SINCE 12/2018 - APPROX 160 HRS/MO - FEE BASED 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
Termination	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:	07/14/2016
Docket/Case Number:	2014039092101
Employing firm when activity occurred which led to the regulatory action:	WFG Investments, Inc.
Product Type:	Annuity-Variable
Allegations:	Without admitting or denying the findings, Conwell consented to the sanctions and to the entry of findings that he impersonated one of his customers on one occasion in order to obtain a current annuity valuation for a portfolio review that he was providing the customer the following day. The findings stated that Conwell called another financial institution in order to obtain current valuation information about the variable annuity owned by the customer to enable Conwell to conduct a routine account review. Because Conwell was not listed as the registered representative of record on the annuity account at the time, he misrepresented to the financial institution that he was the customer in order to obtain the information. Conwell then used the information obtained about the variable annuity's current value to conduct the portfolio review with the customer.
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:

07/14/2016

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: Any and all capacities
Duration: 30 business days
Start Date: 08/01/2016
End Date: 09/12/2016

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: 07/26/2016
Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought:
Date Initiated: 07/14/2016
Docket/Case Number: [2014039092101](#)
Employing firm when activity occurred which led to the regulatory action: WFG Investments, Inc.



Product Type:	Annuity-Variable
Allegations:	Without admitting or denying the findings, Conwell consented to the sanctions and to the entry of findings that he impersonated one of his customers on one occasion in order to obtain a current annuity valuation for a portfolio review that he was providing the customer the following day. The findings stated that Conwell called another financial institution in order to obtain current valuation information about the variable annuity owned by the customer to enable Conwell to conduct a routine account review. Because Conwell was not listed as the registered representative of record on the annuity account at the time, he misrepresented to the financial institution that he was the customer in order to obtain the information. Conwell then used the information obtained about the variable annuity's current value to conduct the portfolio review with the customer.
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:	07/14/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Any and all capacities
Duration:	30 business days
Start Date:	08/01/2016
End Date:	09/12/2016
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:	07/22/2016
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:	INTERNATIONAL ASSETS ADVISORY, LLC
Allegations:	Client claims her Representative misrepresented and failed to disclose material facts, in addition to the investment being an unsuitable recommendation that resulted in a loss of principle. Security purchased in August 2022.
Product Type:	Other: Non-traded Preferred Stock
Alleged Damages:	\$25,000.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified but believed to be over \$25,000
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:	11/05/2024
Complaint Pending?	No
Status:	Denied
Status Date:	12/23/2024
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WFG INVESTMENTS, INC.
Allegations:	6/2/2024 client alleges that her purchase in Smart Shop was not suitable as is unable to liquidate to cover distribution in SEP IRA.
Product Type:	Real Estate Security
Alleged Damages:	\$52,913.11
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: 06/02/2024

Complaint Pending? No

Status: Denied

Status Date: 06/26/2024

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement Investment was not purchased at International Assets Advisory, LLC ("IAA"). Customer acknowledged by way of signature at time of transfer to IAA that "you assume full responsibility for satisfying applicable IRS minimum distribution requirements, notwithstanding the unique liquidity and valuation challenges applicable to Alternative Investments."

Disclosure 3 of 6

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** WFG Investments, Inc.

Allegations: Claimant alleges failure to conduct reasonable due diligence, made material misrepresentations and failed to disclose material facts. These activities are alleged to have occurred in June 2013.

Product Type: Other: Private Placement Stock

Alleged Damages: \$75,000.00

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 #: 16-03305

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 01/25/2017

Customer Complaint Information

Date Complaint Received: 01/27/2017

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 08/21/2019



Settlement Amount: \$5,054,000.00
Individual Contribution Amount: \$0.00
Broker Statement RESPONDENT WFG IS LIABLE FOR AND SHALL PAY TO CLAIMANTS THE SUM OF \$5,054,000.00 IN COMPENSATORY DAMAGES.

Disclosure 4 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WFG Investments, Inc.
Allegations: Claimants allege failure to conduct reasonable due diligence, made materials misrepresentations and failed to disclose material facts. These activities are alleged to have occurred between June through September 2013.
Product Type: Other: Private Placement Stock
Alleged Damages: \$155,000.00
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 #: 16-03472
Filing date of arbitration/CFTC reparation or civil litigation: 11/21/2016

Customer Complaint Information

Date Complaint Received: 03/08/2017
Complaint Pending? No
Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date: 08/21/2019
Settlement Amount: \$5,054,000.00
Individual Contribution Amount: \$0.00
Broker Statement RESPONDENT WFG IS LIABLE FOR AND SHALL PAY TO CLAIMANTS THE SUM OF \$5,054,000.00 IN COMPENSATORY DAMAGES.

Disclosure 5 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: COMPASS BROKERAGE, INC.
Allegations: CUSTOMER PURCHASED MUTUAL FUND IN DECEMBER, 2006. CUSTOMER



ALLEGES, IN REGARD TO HIS PURCHASE OF THE MUTUAL FUND, THAT HE FEELS HE WAS MISLEAD, THAT THE FIRM AND REPRESENTATIVE DID NOT PROPERLY MONITOR THE STATUS OF HIS INVESTMENT AND THAT HIS ACCOUNT WAS NOT ADEQUATELY DIVERSIFIED.

Product Type: Mutual Fund(s)

Alleged Damages: \$67,000.00

Customer Complaint Information

Date Complaint Received: 04/21/2008

Complaint Pending? No

Status: Denied

Status Date: 08/25/2008

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: COMPASS BROKERAGE, INC

Allegations: CUSTOMER PURCHASED MUTUAL FUND IN DECEMBER, 2006. CUSTOMER ALLEGES, IN REGARD TO HIS PURCHASE OF THE MUTUAL FUND, THAT HE FEELS HE WAS MISLEAD, THAT THE FIRM AND REPRESENTATIVE DID NOT PROPERLY MONITOR THE STATUS OF HIS INVESTMENT AND THAT HIS ACCOUNT WAS NOT ADEQUATELY DIVERSIFIED.

Product Type: Mutual Fund(s)

Alleged Damages: \$67,000.00

Customer Complaint Information

Date Complaint Received: 04/21/2008

Complaint Pending? No

Status: Denied

Status Date: 08/25/2008

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: COMPASS BROKERAGE, INC.

Allegations: CUSTOMER ALLEGED VARIABLE ANNUITY TRANSACTION, WHICH TOOK PLACE IN MAY OF 2006, WAS UNSUITABLE.

Product Type: Annuity(ies) - Variable



Alleged Damages: \$6,300.00

Customer Complaint Information

Date Complaint Received: 03/13/2008

Complaint Pending? No

Status: Denied

Status Date: 08/25/2008

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: COMPASS BROKERAGE, INC.

Allegations: CUSTOMER ALLEGED VARIABLE ANNUITY TRANSACTION, WHICH TOOK PLACE IN MAY OF 2006, WAS UNSUITABLE

Product Type: Annuity(ies) - Variable

Alleged Damages: \$6,300.00

Customer Complaint Information

Date Complaint Received: 03/13/2008

Complaint Pending? No

Status: Denied

Status Date: 08/25/2008

Settlement Amount: \$0.00

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: Firm
Firm Name: COMPASS BROKERAGE, INC.
Termination Type: Permitted to Resign
Termination Date: 11/06/2007
Allegations: KNOWING CERTIFICATION OF FALSE SIGNATURE.
Product Type: No Product
Other Product Types:

.....

Reporting Source: Individual
Firm Name: COMPASS BROKERAGE
Termination Type: Permitted to Resign
Termination Date: 11/06/2007
Allegations: ACCUSED OF IMPROPER USE OF A SIGNATURE GUARANTEE STAMP.
Product Type: No Product
Other Product Types:

Broker Statement WAS ATTEMPTING TO ASSIST CLIENT IN TIMELY WITHDRAWAL OF RMD PRIOR TO CLEARING BROKER DEADLINE SO AS TO HELP CLIENT AVOID 50% IRS PENALTY.



End of Report

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