



IAPD Report

DONALD JAMES GUNN JR

CRD# 1442917

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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

DONALD JAMES GUNN JR (CRD# 1442917)

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 **11/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	10/19/2011
IA	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	11/10/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	ANDERSON & STRUDWICK, INCORPORATED	48	TAMPA, FL	04/21/2010 - 10/17/2011
B	J.P. TURNER & COMPANY, L.L.C.	43177	TAMPA, FL	03/24/2010 - 04/19/2010
IA	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL	09/15/2004 - 03/25/2010

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
Financial	2



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 21 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 Florida	Investment Adviser Representative	Approved	11/10/2022

Branch Office Locations

INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC
8309 GUNN HIGHWAY
TAMPA, FL 33626

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 Principal	Approved	10/19/2011
B FINRA	General Securities Representative	Approved	10/19/2011
B California	Agent	Approved	10/19/2011
B Colorado	Agent	Restricted Approval	03/07/2012
B Connecticut	Agent	Approved	10/26/2011



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	01/31/2012
B Illinois	Agent	Approved	10/19/2011
B Louisiana	Agent	Approved	10/19/2011
B Maryland	Agent	Approved	10/19/2011
B Massachusetts	Agent	Approved	11/23/2011
B Michigan	Agent	Approved	08/29/2018
B Minnesota	Agent	Approved	03/13/2012
B New Jersey	Agent	Approved	03/20/2012
B New Mexico	Agent	Approved	02/01/2012
B New York	Agent	Approved	10/19/2011
B Ohio	Agent	Approved	10/19/2011
B Pennsylvania	Agent	Approved	10/19/2011
B South Carolina	Agent	Approved	02/23/2012
B Texas	Agent	Approved	10/19/2011
B Utah	Agent	Approved	08/23/2012
B Virginia	Agent	Approved	10/19/2011
B Washington	Agent	Approved	10/19/2011
B Wisconsin	Agent	Approved	02/09/2012

Branch Office Locations



Qualifications

INTERNATIONAL ASSETS ADVISORY, LLC
8309 GUNN HIGHWAY
TAMPA, FL 33626

INTERNATIONAL ASSETS ADVISORY, LLC
503 MANATEE AVENUE E
BRADENTON, FL 34208



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	11/18/1987

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/18/1986

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	10/15/2022
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/10/1986

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
B	04/21/2010 - 10/17/2011	ANDERSON & STRUDWICK, INCORPORATED	CRD# 48	TAMPA, FL
B	03/24/2010 - 04/19/2010	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	TAMPA, FL
IA	09/15/2004 - 03/25/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
B	03/17/1997 - 03/25/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
B	12/06/1995 - 03/14/1997	SOVEREIGN EQUITY MANAGEMENT CORP.	CRD# 20016	DEERFIELD BEACH, FL
B	08/04/1995 - 12/08/1995	W.J. GALLAGHER & COMPANY, INC.	CRD# 11097	PASADENA, CA
B	11/28/1990 - 07/27/1995	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE
B	01/22/1986 - 12/03/1990	THE STUART-JAMES COMPANY, INCORPORATED	CRD# 11691	DENVER, CO

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
10/2022 - Present	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	TAMPA, FL, United States
10/2011 - Present	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REP	Y	TAMPA, FL, 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) ROCKPORT GLOBAL, LLC 8309 GUNN HIGHWAY TAMPA, FL 33626 - DBA FOR IAA BUSINESS - CEO/35% OWNER SINCE 10/2011, APPROX 160 HRS/MO - COMMISSIONS
- 2) INTERNATIONAL ASSETS INVESTMENT MANAGEMENT LLC 111 N ORANGE AVE, STE 1000, ORLANDO, FL 32801



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ORLANDO, FL 32801 - RIA AFFILIATE OF INTERNATIONAL ASSETS ADVISORS - ADVISOR SINCE 10/2022 - APPROX 100 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
Financial	2

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: FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECTION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/10/1996

Docket/Case Number: 2177-S-5/95

Employing firm when activity occurred which led to the regulatory action: CHATFIELD DEAN & CO., INC.

Product Type:

Other Product Type(s):

Allegations: ON JANUARY 10, 1996, THE FLORIDA DEPARTMENT OF BANKING AND FINANCE ISSUED AN ADMINISTRATIVE COMPLAINT FOR IMPOSITION OF ADMINISTRATIVE PENALTIES AND NOTICE OF INTENT TO ISSUE CEASE AND DESIST ORDER WITH NOTICE OF RIGHTS AGAINST DONALD JAMES GUNN, JR ALLEGING VIOLATIONS OF CHAPTER 517, FLORIDA STATUTES, AND THE RULES PROMULGATED THEREUNDER ("COMPLAINT"). GUNN SUBSEQUENTLY REQUESTED THAT A FORMAL HEARING BE CONDUCTED ON THE ALLEGATIONS IN THE COMPLAINT.

Current Status: Final

Resolution: Stipulation and Consent



Resolution Date: 08/19/1996

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: ON AUGUST 19, 1996, THE DEPARTMENT AND GUNN ENTERED INTO A STIPULATION AND CONSENT AGREEMENT TO RESOLVE ALL ALLEGATIONS OF THE COMPLAINT ("AGREEMENT"). THE AGREEMENT PROVIDES THAT GUNN NEITHER ADMITS NOR DENIES THE ALLEGATIONS CONTAINED IN THE COMPLAINT AND CONSENTS TO ENTRY OF A FINAL ORDER WITHOUT ANY FINDING EXCEPT AS TO JURISDICTION. THE AGREEMENT ALSO PROVIDES THAT IN NO EVENT SHALL THE FACTS AND CIRCUMSTANCES AT ISSUE IN THE COMPLAINT CONSTITUTE THE BASIS FOR ANY ACTION BY THE DEPARTMENT, INCLUDING THE IMPOSITION OF ANY CONDITIONS, RESTRICTIONS, OR LIMITATIONS AGAINST GUNN; HOWEVER, THE DEPARTMENT EXPRESSLY RESERVES ITS RIGHT TO PURSUE ANY ADMINISTRATIVE ACTION OR REMEDY AVAILABLE TO IT, SHOULD A CAUSE EXIST FOR SAME. THE AGREEMENT FURTHERMORE PROVIDES THAT GUNN WILL COMPLY IN THE FUTURE WITH THE REQUIREMENTS OF CHAPTER 517, F.S., AND THE RULES PROMULGATED THEREUNDER, WITHDRAW HIS REQUEST FOR A FORMAL HEARING, PAY THE DEPARTMENT'S COSTS IN THE AMOUNT OF \$5,000 AND COOPERATE WITH THE DEPARTMENT WITH REGARD TO THE OTHER RESPONDENTS NAMED IN THE COMPLAINT. [FLORIDA DOCKET/CASE NO. DBF NO. 2177-S-5/95 DOAH NO. 96-001375]

Regulator Statement CONTACT: BILL REILLY (904) 488-9805.

Reporting Source: Firm

Regulatory Action Initiated By: STATE OF FLORIDA, DEPARTMENT OF BANKING AND FINANCE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/10/1996

Docket/Case Number: 2177-S-5/95

Employing firm when activity occurred which led to the regulatory action: CHATFIELD DEAN & CO., INC.

Product Type:

Other Product Type(s):

Allegations: FAILURE TO SUPERVISE THE FOLLOWING ACTIVITIES: (1) ALLEGED DOMINATION AND CONTROL WHICH RESULTED IN ALLEGED EXCESSIVE MARKUPS AND (2) ENGAGING IN PRACTICES WHICH ARE ALLEGED TO HAVE OPERATED AS A FRAUD ON THE FIRM'S CUSTOMERS

Current Status: Final



Resolution: Stipulation and Consent

Resolution Date: 08/19/1996

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: PENDING

Firm Statement THE FIRM COMPLETELY DENIES THESE ALLEGATIONS AND INTENDS TO VIGOROUSLY LITIGATE THIS ACTION.

.....

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF FLORIDA, DEPT OF BANKING & FINANCE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/10/1996

Docket/Case Number: 2177-S-5/95

Employing firm when activity occurred which led to the regulatory action: CHATFIELD DEAN & CO., INC.

Product Type:

Other Product Type(s):

Allegations: I WAS NAMED AS A RESPONDENT TO THIS ADMINISTRATIVE COMPLAINT AGAINST CHATFIELD DEAN & CO., MY FORMER EMPLOYER. ALLEGATIONS-FAILURE TO SUPERVISE: (1) ALLEGED DOMINATION AND CONTROL, WHICH RESULTED IN ALLEGED EXCESSIVE MARK-UPS. (2) ENGAGING IN PRACTICES WHICH ARE ALLEGED TO HAVE BEEN FRAUD ON THE PART OF CHATFIELD DEAN & CO.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 08/19/1996

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: ON AUGUST 19, 1996, THE DEPT AND I ENTERED INTO A STIPLUTATION & CONSENT AGREEMENT TO RESOLVE ALL ALLEGATIONS. WITHOUT ADMITTING OR DENYING ANY WRONGDOING I CONSENTED TO THE ENTRY OF FINAL ORDER WITHOUT ANY FINDINGS, EXCEPT AS TO JURISDICTION. WE AGREED THAT IN NO EVENT SHALL THE FACTS AND CIRCUMSTANCES AT ISSUE CONSTITUTE ANY ACTION BY THE DEPT. I AGREED TO PAY THE DEPARTMENTS COST OF \$5,000 ASSOCIATED WITH THIS ITEM, AND TO WITHDRAWN MY REQUEST FOR A FORMAL HEARING.

Broker Statement IDENY EACH & EVERY ALLEGATION BY THE STATE OF FLORIDA, AND PLAN TO VIGOROUSLY DEFEND MYSELF. MY FORMER EMPLOYER, CHATFIELD-DEAN ALSO DENIES THE STATES ALLEGATIONS.



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:	NEGLIGENCE, VIOLATION OF FLORIDA'S SECURITIES AND INVESTOR PROTECTION ACT, COMMON LAW FRAUD, ETC. REGARDING PURCHASE OF GPB PRODUCTS.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$500,000.00
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 #:	21-00639
Filing date of arbitration/CFTC reparation or civil litigation:	03/09/2021

Customer Complaint Information

Date Complaint Received:	03/16/2021
Complaint Pending?	No
Status:	Settled
Status Date:	06/30/2022
Settlement Amount:	\$150,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	NOTE: THERE ARE NO ALLEGATIONS AGAINST DONALD GUNN NOR IS HE MENTIONED IN THE STATEMENT OF CLAIM.

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	INTERNATIONAL ASSETS ADVISORY, LLD



Allegations: STATEMENT OF CLAIM ALLEGES; EXCESSIVE AND UNNECESSARY CONCENTRATED POSITIONS IN VOLATILE PENNY STOCKS WITH NO DOWNSIDE PROTECTION, FALSE AND MISLEADING STATEMENTS, FRAUD, NEGLIGENT MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, AND NEGLIGENT SUPERVISION. STATEMENT OF CLAIM ALLEGES \$250,000 IN DAMAGES.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$250,000.00

Arbitration Information

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

Docket/Case #: 13-02046

Date Notice/Process Served: 07/24/2013

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/24/2015

Monetary Compensation Amount: \$52,500.00

Individual Contribution Amount: \$0.00

Broker Statement MR. GUNN WAS NOT THE PRIMARY REPRESENTATIVE FOR CLAIMANTS' ACCOUNTS. MR. GUNN HAD FEW, IF ANY, DEALINGS WITH CLAIMANTS REGARDING THEIR INVESTMENTS. MR. GUNN WAS INCLUDED IN THIS ARBITRATION BECAUSE HE WAS LISTED AS A JOINT REPRESENTATIVE FOR CLAIMANTS' ACCOUNTS.

ALL OF THE STOCKS CLAIMANTS PURCHASED WERE CONSISTENT WITH THEIR WRITTEN AND AFFIRMED OBJECTIVES OF LONG-TERM GROWTH AND SPECULATION. THE STOCKS INVESTED TRADED ON MAJOR EXCHANGES AND WERE NOT PENNY STOCKS AS CLAIMANTS ASSERTED. CLAIMANTS AVERAGED MORE THAN TEN CONTACTS EVERY WEEK WITH THE PRIMARY REPRESENTATIVE (NOT MR. GUNN) DURING THE RELATIONSHIP AT IAA. CLAIMANT FULLY INFORMED HIMSELF ABOUT THE STOCKS, INCLUDING IN SOME CASES SPEAKING DIRECTLY WITH OFFICERS OF THE COMPANIES HE INVESTED IN. CLAIMANT TRADED THE SAME AND SIMILAR STOCKS IN A SELF-DIRECTED ACCOUNT HELD AWAY FROM IAA, DURING THE SAME TIME HE TRADED AT IAA.

MR. GUNN DENIES ALL ALLEGATIONS IN THEIR ENTIRETY. IAA AND ITS INSURER MADE THE BUSINESS DECISION TO SETTLE THE CASE AND SETTLED FOR LESS THAN COST OF DEFENSE. MR. GUNN INTENDS TO SEEK EXPUNGEMENT OF THIS ARBITRATION.

Disclosure 3 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GUNN ALLEN FINANCIAL, INC



Allegations: CLAIMANTS ALLEGE FAILURE TO TREAT IN A JUST AND EQUITABLE MANNER, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, AND FAILURE TO SUPERVISE IN RELATION TO PROVIDENT ROYALTIES, LLC INTERESTS THEY PURCHASED FROM REPRESENTATIVE(S) OF GUNNALLEN, INC. (NOT MR. GUNN). MR. GUNN IS NAMED AS A RESPONDENT IN THIS MATTER SOLELY BECAUSE OF HIS ROLE AS PRESIDENT, A ROLE WHICH REFLECTED HIS OWNERSHIP AND STATUS AS COFOUNDER OF THE FIRM. AT NO TIME DID MR. GUNN HAVE ANY DEALINGS DIRECTED AT OR INVOLVING THE CLAIMANTS, OR WITH PROVIDENT ROYALTIES, LLC.

Product Type: Direct Investment-DPP & LP Interests
Other: PREFERRED SHARES

Alleged Damages: \$1,842,000.00

Arbitration Information

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

Docket/Case #: 10-00731

Date Notice/Process Served: 03/03/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/10/2012

Monetary Compensation Amount: \$12,339.04

Individual Contribution Amount: \$0.00

Broker Statement MR. GUNN IS NOT THE DIRECT SUBJECT OF THIS LITIGATION WHICH PERTAINS TO FORMER REPRESENTATIVE(S) OF GUNNALLEN FINANCIAL, INC. MR. GUNN IS NAMED AS A RESPONDENT IN THIS MATTER SOLELY BECAUSE OF HIS ROLE AS PRESIDENT, A ROLE WHICH REFLECTED HIS OWNERSHIP AND COFOUNDER OF THE FIRM. AT NO TIME DID MR. GUNN HAVE ANY DIRECT OR INDIRECT RESPONSIBILITY TO SUPERVISE REPRESENTATIVES. AT NO TIME DID MR. GUNN HAVE ANY DEALINGS DIRECTED AT OR INVOLVING THE CLAIMANTS, OR WITH PROVIDENT ROYALTIES, LLC.

Disclosure 4 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GUNNALLEN FINANCIAL, INC.

Allegations: CLAIMANTS ALLEGE FAILURE TO TREAT IN A JUST AND EQUITABLE MANNER, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, AND FAILURE TO SUPERVISE IN RELATION TO PROVIDENT ROYALTIES, LLC INTERESTS THEY PURCHASED FROM REPRESENTATIVE(S) OF GUNNALLEN, INC. (NOT MR. GUNN). MR. GUNN IS NAMED AS A RESPONDENT IN THIS MATTER SOLELY BECAUSE OF HIS ROLE AS PRESIDENT, A ROLE WHICH REFLECTED HIS OWNERSHIP AND STATUS AS COFOUNDER OF THE FIRM. AT NO TIME DID MR. GUNN HAVE



Product Type: ANY DEALINGS DIRECTED AT OR INVOLVING THE CLAIMANTS, OR WITH PROVIDENT ROYALTIES, LLC.
Direct Investment-DPP & LP Interests
Other: PREFERRED SHARES

Alleged Damages: \$330,000.00

Arbitration Information

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

Docket/Case #: 10-00677

Date Notice/Process Served: 02/22/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/08/2012

Monetary Compensation Amount: \$3,862.66

Individual Contribution Amount: \$0.00

Broker Statement MR. GUNN IS NOT THE DIRECT SUBJECT OF THIS LITIGATION WHICH PERTAINS TO FORMER REPRESENTATIVE(S) OF GUNNALLEN FINANCIAL, INC. MR. GUNN IS NAMED AS A RESPONDENT IN THIS MATTER SOLELY BECAUSE OF HIS ROLE AS PRESIDENT, A ROLE WHICH REFLECTED HIS OWNERSHIP AND COFOUNDER OF THE FIRM. AT NO TIME DID MR. GUNN HAVE ANY DIRECT OR INDIRECT RESPONSIBILITY TO SUPERVISE REPRESENTATIVES. AT NO TIME DID MR. GUNN HAVE ANY DEALINGS DIRECTED AT OR INVOLVING THE CLAIMANTS, OR WITH PROVIDENT ROYALTIES, LLC.

Disclosure 5 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GUNNALLEN FINANCIAL, INC.

Allegations: CLAIMANTS ALLEGE FAILURE TO TREAT IN A JUST AND EQUITABLE MANNER, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, AND FAILURE TO SUPERVISE IN RELATION TO PROVIDENT ROYALTIES, LLC INTERESTS THEY PURCHASED FROM REPRESENTATIVE(S) OF GUNNALLEN, INC. (NOT MR. GUNN). MR. GUNN IS NAMED AS A RESPONDENT IN THIS MATTER SOLELY BECAUSE OF HIS ROLE AS PRESIDENT, A ROLE WHICH REFLECTED HIS OWNERSHIP AND STATUS AS COFOUNDER OF THE FIRM. AT NO TIME DID MR. GUNN HAVE ANY DEALINGS DIRECTED AT OR INVOLVING THE CLAIMANTS, OR WITH PROVIDENT ROYALTIES, LLC.

Product Type: Direct Investment-DPP & LP Interests
Other: PREFERRED SHARES

Alleged Damages: \$1,145,000.00

Arbitration Information



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

Docket/Case #: 10-00679

Date Notice/Process Served: 04/07/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/08/2012

Monetary Compensation Amount: \$14,849.77

Individual Contribution Amount: \$0.00

Broker Statement

MR. GUNN IS NOT THE DIRECT SUBJECT OF THIS LITIGATION WHICH PERTAINS TO FORMER REPRESENTATIVE(S) OF GUNNALLEN FINANCIAL, INC. MR. GUNN IS NAMED AS A RESPONDENT IN THIS MATTER SOLELY BECAUSE OF HIS ROLE AS PRESIDENT, A ROLE WHICH REFLECTED HIS OWNERSHIP AND COFOUNDER OF THE FIRM. AT NO TIME DID MR. GUNN HAVE ANY DIRECT OR INDIRECT RESPONSIBILITY TO SUPERVISE REPRESENTATIVES. AT NO TIME DID MR. GUNN HAVE ANY DEALINGS DIRECTED AT OR INVOLVING THE CLAIMANTS, OR WITH PROVIDENT ROYALTIES, LLC.

Disclosure 6 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GUNNALLEN FINANCIAL, INC

Allegations: CLAIMANTS ALLEGE UNSUITABLE INVESTMENTS, FRAUD, NEGLIGENCE, AND FAILURE TO SUPERVISE IN RELATION TO PROVIDENT ROYALTIES, LLC INTERESTS THEY PURCHASED FROM THE REPRESENTATIVE (NOT MR. GUNN) WHO IS THE DIRECT SUBJECT OF THIS LITIGATION. MR. GUNN IS NAMED AS A RESPONDENT IN THIS MATTER SOLELY BECAUSE OF HIS ROLE AS PRESIDENT, A ROLE WHICH REFLECTED HIS OWNERSHIP AND STATUS AS A FOUNDER OF THE FIRM. AT NO TIME DID MR. GUNN HAVE ANY DEALINGS DIRECTED AT OR INVOLVING THE CLAIMANTS, OR WITH PROVIDENT ROYALTIES, LLC.

Product Type: Direct Investment-DPP & LP Interests
Other: PREFERRED SHARES

Alleged Damages: \$1,395,000.00

Arbitration Information

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

Docket/Case #: 10-00209

Date Notice/Process Served: 04/06/2010

Arbitration Pending? No

Disposition: Settled



Disposition Date: 03/08/2012

Monetary Compensation Amount: \$13,948.48

Individual Contribution Amount: \$0.00

Broker Statement

MR. GUNN IS NOT THE DIRECT SUBJECT OF THIS LITIGATION WHICH PERTAINS TO A FORMER REPRESENTATIVE OF GUNNALLEN FINANCIAL, INC. MR. GUNN IS NAMED AS A RESPONDENT IN THIS MATTER SOLELY BECAUSE OF HIS ROLE AS PRESIDENT, A ROLE WHICH REFLECTED HIS OWNERSHIP AND A FOUNDER OF THE FIRM. AT NO TIME DID MR. GUNN HAVE ANY DIRECT OR INDIRECT RESPONSIBILITY TO SUPERVISE THE SUBJECT REPRESENTATIVE. AT NO TIME DID MR. GUNN HAVE ANY DEALINGS DIRECTED AT OR INVOLVING THE CLAIMANTS, OR WITH PROVIDENT ROYALTIES, LLC.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 2

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 13
Action Date: 06/28/2023

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: UNITED STATES BANKRUPTCY COURT FOR THE MIDDLE DISTRICT OF FLORIDA
Location of Court: TAMPA, FLORIDA
Docket/Case #: 8:23-BK-02732
Action Pending? Yes

Disclosure 2 of 2

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 11
Action Date: 06/01/2022

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: U.S. BANKRUPTCY COURT
Location of Court: MIDDLE DISTRICT OF FLORIDA
Docket/Case #: 2202234
Action Pending? No
Disposition: Dismissed
Disposition Date: 06/15/2023



End of Report

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