



IAPD Report

LARRY GLENN BOGGS

CRD# 1874727

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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

LARRY GLENN BOGGS (CRD# 1874727)

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 **01/28/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	D.L. FIELDS ADVISORY GROUP, LLC	CRD# 286216	02/24/2022

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
IA	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	ATLANTA, GA	05/01/2019 - 01/25/2022
B	INTERNATIONAL ASSETS ADVISORY, LLC	10645	ATLANTA, GA	04/08/2019 - 01/25/2022
IA	FIRST ALLIED ADVISORY SERVICES, INC.	137888	BIRMINGHAM, AL	03/18/2014 - 04/05/2019

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
Customer Dispute	7



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: **D.L. FIELDS ADVISORY GROUP, LLC**
Main Address: 1202 NE MCCLAIN RD
BLDG 7
BENTONVILLE, AR 72712
Firm ID#: 286216

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	02/24/2022

Branch Office Locations

D.L. FIELDS ADVISORY GROUP, LLC
501 Pulliam St. SW
Suite 150
Atlanta, GA 30312



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 3 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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Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	10/15/1988
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	02/25/2014
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Uniform Investment Adviser Law Examination (S65)	Series 65	12/30/1998
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Uniform Securities Agent State Law Examination (S63)	Series 63	10/19/1988
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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	05/01/2019 - 01/25/2022	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	ATLANTA, GA
B	04/08/2019 - 01/25/2022	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	ATLANTA, GA
IA	03/18/2014 - 04/05/2019	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	BIRMINGHAM, AL
B	10/27/2011 - 04/05/2019	FIRST ALLIED SECURITIES, INC.	CRD# 32444	BIRMINGHAM, AL
B	08/21/2003 - 11/03/2011	FSC SECURITIES CORPORATION	CRD# 7461	BIRMINGHAM, AL
IA	03/04/2004 - 12/31/2004	FSC SECURITIES CORPORATION	CRD# 7461	BIRMINGHAM, AL
B	12/15/1999 - 09/16/2003	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
B	08/14/1998 - 12/20/1999	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	03/01/1996 - 08/26/1998	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	06/02/1995 - 03/01/1996	G. R. PHELPS & CO., INC.	CRD# 173	
B	04/05/1991 - 07/14/1995	KEOGLER, MORGAN & COMPANY, INC.	CRD# 16546	ATLANTA, GA
B	03/06/1990 - 04/08/1991	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	10/19/1988 - 02/23/1990	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	10/19/1988 - 02/23/1990	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
04/2019 - Present	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2019 - Present	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR	Y	ATLANTA, GA, United States
03/2014 - 04/2019	FIRST ALLIED ADVISORY SERVICES, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
10/2011 - 04/2019	FIRST ALLIED SECURITIES, INC	FINANCIAL ADVISOR	Y	SAN DIEGO, CA, 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) INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC 390 N ORANGE AVE STE 750 ORLANDO, FL 32801 - RIA AFFILIATE OF INTERNATIONAL ASSETS ADVISORS, LLC - ADVISOR SINCE 4/2019 - APPROX 160 HRS/MO - FEE BASED COMPENSATION
- 2) BOGGS & ASSOCIATES, LLC dba AMERICAN RETIREMENT SOLUTIONS - 501 PULLIAM STREET SW, SUITE 150, ATLANTA, GA 30312 - PRIVATE LABEL ENTITY FOR FINANCIAL PLANNING BUSINESS - PRESIDENT SINCE 12/2016 - APPROX 300 HRS/MO - FEES/COMMISSIONS
- 3) NOTARY PUBLIC - 501 PULLIAM STREET SW, SUITE 150, ATLANTA, GA 30312 - NOTARY SERVICES SINCE 11/2015 - APPROX 160 HRS/MO - FEES



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
Customer Dispute	7

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 7

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	First Allied Securities, Inc.
Allegations:	Claimant alleges that her investment advisor made unsuitable investment recommendations. The complaint generally alleges breach of contract, violation of Alabama deceptive trade practices act, and vicarious liability.
Product Type:	Annuity-Variable
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	\$100,000.00 - \$500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	19-02826
Date Notice/Process Served:	09/25/2019
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/07/2021
Monetary Compensation	\$99,000.00



Amount:
Individual Contribution \$0.00
Amount:

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FIRST ALLIED SECURITIES, INC.

Allegations: CLAIMANT ALLEGES THAT HER INVESTMENT ADVISOR MADE UNSUITABLE INVESTMENT RECOMMENDATIONS. THE COMPLAINT GENERALLY ALLEGES BREACH OF CONTRACT, VIOLATION OF ALABAMA DECEPTIVE TRADE PRACTICES ACT, AND VICARIOUS LIABILITY.

Product Type: Annuity-Variable
Alleged Damages: \$100,000.00
Alleged Damages Amount Explanation (if amount not exact): \$100,000.00 - \$500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 19-02826
Date Notice/Process Served: 09/25/2019
Arbitration Pending? No
Disposition: Settled
Disposition Date: 07/07/2021
Monetary Compensation Amount: \$99,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 7

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: First Allied Advisory Services, Inc., and First Allied Securities, Inc.,
Allegations: Boggs was named in customers' complaint that asserted the following causes of action:
Negligent supervision; negligent misrepresentation; negligence; violation of the Tennessee Consumer Protection Act; and derivative liability of First Allied and ARS. The causes of action relate to Boggs' financial plan for Claimants' retirement.
Product Type: Other: An Annuity, among other investments
Alleged Damages: \$1,663,848.00

Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [FINRA - CASE #17-03439](#)**Date Notice/Process Served:** 12/20/2017**Arbitration Pending?** No**Disposition:** Award**Disposition Date:** 01/18/2019**Disposition Detail:** Respondent Boggs is jointly and severally liable for and shall pay to Claimants the sum of \$578,247.00 in compensatory damages, the sum of \$500,000.00 in punitive damages, the sum of \$60,506.00 in costs, and the sum of \$350,000.00 in attorneys' fees.**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** First Allied Securities, Inc.**Allegations:** Clients allege that their Variable Annuity that was purchased in 2014 was misrepresented.**Product Type:** Annuity-Variable**Alleged Damages:** \$0.00**Alleged Damages Amount Explanation (if amount not exact):** Firm believes that alleged damages will exceed \$5,000.00.**Is this an oral complaint?** No**Is this a written complaint?** Yes**Is this an arbitration/CFTC reparation or civil litigation?** Yes**Arbitration/Reparation forum or court name and location:** FINRA**Docket/Case #:** 17-03439**Filing date of arbitration/CFTC reparation or civil litigation:** 01/04/2018**Customer Complaint Information****Date Complaint Received:** 02/13/2017**Complaint Pending?** No**Status:** Arbitration Award/Monetary Judgment (for claimants/plaintiffs)**Status Date:** 01/18/2019**Settlement Amount:** \$1,488,753.00**Individual Contribution Amount:** \$0.00**Arbitration Information**



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

FINRA

Docket/Case #:

[17-03439](#)

Date Notice/Process Served:

02/13/2017

Arbitration Pending?

No

Disposition:

Award to Customer

Disposition Date:

01/18/2019

Monetary Compensation Amount:

\$1,488,753.00

Individual Contribution Amount:

\$0.00

Disclosure 3 of 7

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

First Allied Services, Inc.

Allegations:

Customer claims her account(s) were mismanaged and she was misled into believing she could not move her account elsewhere.

Product Type:

Annuity-Variable
Mutual Fund

Alleged Damages:

\$5,000.00

Alleged Damages Amount Explanation (if amount not exact):

Exact amount unknown; estimated to be greater than \$5000

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:

06/16/2015

Complaint Pending?

No

Status:

Denied

Status Date:

09/30/2015

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 7

Reporting Source:

Firm



Employing firm when activities occurred which led to the complaint: FSC SECURITIES CORPORATION

Allegations: CUSTOMER ALLEGES AN UNAUTHORIZED REALLOCATION OF THE SUBACCOUNTS OF HER VARIABLE ANNUITY OCCURRED AUGUST 8, 2011.

Product Type: Annuity-Variable

Alleged Damages: \$23,303.23

Alleged Damages Amount Explanation (if amount not exact): CUSTOMER'S ALLEGED LOSS OF VALUE ON CONTRACT FROM AUGUST 8, 2011 TO FEBRUARY 10, 2012.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/24/2012

Complaint Pending? No

Status: Denied

Status Date: 06/07/2012

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FSC SECURITIES CORPORATION

Allegations: CUSTOMER ALLEGES AN UNAUTHORIZED REALLOCATION OF THE SUBACCOUNTS OF HER VARIABLE ANNUITY OCCURRED AUGUST 8, 2011.

Product Type: Annuity-Variable

Alleged Damages: \$23,303.23

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: 06/18/2012

Complaint Pending? No

Status: Denied

Status Date: 06/07/2012

Settlement Amount:



Individual Contribution Amount:

Disclosure 5 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INVESTACORP & FSC SECURITIES CORPORATION

Allegations: CUSTOMER ALLEGES THE REPRESENTATIVE CONVINCED HER TO TAKE EARLY RETIREMENT, TO TAKE A LUMP SUM PAYMENT OF HER 401K, AND TO INVEST HER ROLLOVER FUNDS VARIABLE ANNUITY SUB-ACCOUNTS THAT COULD NOT SUSTAIN HIGH MONTHLY WITHDRAWALS.

Product Type: Annuity-Fixed
Annuity-Variable

Alleged Damages: \$310,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: CASE NO. 09-02696

Filing date of arbitration/CFTC reparation or civil litigation: 06/10/2009

Customer Complaint Information

Date Complaint Received: 06/24/2009

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 06/24/2009

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: CASE NO. 09-02696

Date Notice/Process Served: 06/24/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/03/2010



Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE REPRESENTATIVE DENIES ANY WRONGDOING. THIS MATTER WAS SETTLED FOR A NOMINAL AMOUNT SOLELY TO AVOID THE COSTS OF ARBITRATION.

Disclosure 6 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INVESTACORP INC.

Allegations: THE CUSTOMER ALLEGES THE REPRESENTATIVE MISREPRESENTED HER INVESTMENT AND WOULD NOT MAKE CHANGES WHEN SHE REQUESTED THEM.

Product Type: Mutual Fund(s)

Alleged Damages: \$50,406.20

Customer Complaint Information

Date Complaint Received: 07/09/2007

Complaint Pending? No

Status: Denied

Status Date: 08/07/2007

Settlement Amount:

Individual Contribution Amount:

Disclosure 7 of 7

Reporting Source: Individual

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

Allegations: DID NOT PROCESS CLIENT'S REQUEST OF REALLOCATIONS TO GLEN BROOK ANNUITY IN A TIMELY FASHION.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$8,200.00

Customer Complaint Information

Date Complaint Received: 01/10/2002

Complaint Pending? No

Status: Settled

Status Date: 01/28/2002

Settlement Amount: \$8,200.00



Individual Contribution Amount:

\$8,200.00

Broker Statement

RECEIVED INSTRUCTIONS FROM CLIENT AND COULD NOT EXECUTE CLIENT'S REALLOCATION PRIOR TO DAY'S MARKET CLOSE. TRANSACTION EXECUTED NEXT BUSINESS DAY.



End of Report

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