



IAPD Report

H CRAIG RAPPAPORT

CRD# 1916976

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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

H CRAIG RAPPAPORT (CRD# 1916976)

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 **07/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	03/31/2025
B	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	03/31/2025

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **8** 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	Radnor, PA	01/11/2016 - 04/03/2025
B	INTERNATIONAL ASSETS ADVISORY, LLC	10645	RADNOR, PA	11/13/2014 - 04/03/2025
IA	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	RADNOR, PA	11/18/2014 - 12/31/2015

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	1
Termination	1
Judgment/Lien	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 **8** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **KINGSWOOD CAPITAL PARTNERS, LLC**
Main Address: 11440 W. BERNARDO CT.
SUITE 300
SAN DIEGO, CA 92127
Firm ID#: 288898

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	03/31/2025
B Nasdaq Stock Market	General Securities Representative	Approved	03/31/2025
B California	Agent	Approved	03/31/2025
B Florida	Agent	Approved	06/12/2025
B New Jersey	Agent	Approved	03/31/2025
B New York	Agent	Approved	03/31/2025
B North Carolina	Agent	Approved	03/31/2025
B Pennsylvania	Agent	Approved	03/31/2025
B Texas	Agent	Approved	03/31/2025
B Virginia	Agent	Approved	03/31/2025

Branch Office Locations

150 N. Radnor Chester Rd
Suite F-200
Radnor, PA 19087



Qualifications

Employment 2 of 2

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**
 Main Address: 11440 W. BERNARDO COURT
 SUITE 300
 SAN DIEGO, CA 92127
 Firm ID#: 288792

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	04/01/2025
IA	New Jersey	Investment Adviser Representative	Approved	03/31/2025
IA	New York	Investment Adviser Representative	Approved	04/01/2025
IA	North Carolina	Investment Adviser Representative	Approved	04/01/2025
IA	Pennsylvania	Investment Adviser Representative	Approved	03/31/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	03/31/2025
IA	Virginia	Investment Adviser Representative	Approved	05/20/2025

Branch Office Locations

KINGSWOOD WEALTH ADVISORS, LLC
 150 N Radnor Chester Road
 Suite F-200
 Radnor, PA 19087



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	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	09/13/1995
 General Securities Representative Examination (S7)	Series 7	04/15/1989

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	08/10/1995
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/24/1989

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	01/11/2016 - 04/03/2025	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	Radnor, PA
B	11/13/2014 - 04/03/2025	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	RADNOR, PA
IA	11/18/2014 - 12/31/2015	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	RADNOR, PA
IA	06/02/2009 - 11/11/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	WAYNE, PA
B	05/29/2009 - 11/11/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	WAYNE, PA
IA	03/30/2006 - 06/08/2009	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	RADNOR, PA
B	11/25/2002 - 06/08/2009	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	RADNOR, PA
B	12/12/1996 - 12/09/2002	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	05/26/1989 - 12/13/1996	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	04/18/1989 - 06/08/1989	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

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
01/2025 - Present	Kingswood Capital Partners	Registered Rep	Y	Radnor, PA, United States
01/2025 - Present	Kingswood Wealth Advisors	Investment Advisor	Y	Radnor, PA, United States
11/2014 - 01/2025	INTERNATIONAL ASSETS ADVISORY	REGISTERED REP	Y	ORLANDO, FL, United States



Registration & Employment History

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) RAPPAPORT WEALTH MANAGEMENT - 150 N RADNOR CHESTER RD STE F200 RADNOR, PA 14087 - DBA FOR IAA BUSINESS - 100% OWNER/PRESIDENT SINCE 11/2014 - APPROX 200 HRS/MO - COMMISSION BASED COMPENSATION
- 2) KYW NEWS RADIO - 1555 HAMILTON ST 6TH FL PHILADELPHIA, PA 19130 - PROVIDE RADIO COMMENTARY ON DAILY STOCK MARKET/INVESTMENT NEWS SINCE 1/1989 - NO FINANCIAL RELATIONSHIP - APPROX 5 HRS/MO - NO COMPENSATION
- 3) BLOOMBERG RADIO/LOCAL TV - PERIODICALLY PROVIDE COMMENTARY ON STOCK MARKET/INVESTMENT NEWS SINCE 1/2015 - NO FINANCIAL RELATIONSHIP - APPROX 2 HR/MO - NO COMPENSATION
- 4) AUTHOR - WROTE 'LIVE LONG LIVE RICH' BOOK ABOUT INVESTING FOR INCOME - 100% OWNER SINCE 2007 - APPROX 1 HR/MO - COMPENSATED BY BOOK SALES
- 5) INTERNATIONAL ASSETS INVESTMENT MANAGEMENT LLC 111 N ORANGE AVE, STE 1000, ORLANDO, FL 32801 - RIA AFFILIATE OF INTERNATIONAL ASSETS ADVISORS - ADVISOR SINCE 11/2014 - APPROX 80 HRS/MO - FEE BASED COMPENSATION
- 6) SELF EMPLOYED INSURANCE SALES 150 N. RADNOR CHESTER ROAD, STE F200 RADNOR, PA - LIF



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	1
Termination	1
Judgment/Lien	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	ATTORNEY FOR CLIENT ALLEGES THAT CLIENT RECENTLY DISCOVERED THAT SHARES WERE SOLD WITHOUT AUTHORITY. ATTORNEY HAS REQUESTED THAT THE TRADES IN QUESTION BE REVERSED. (05/13/2013)
Product Type:	Other: EQUITY-FOREIGN
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE NOT SPECIFIED, BUT REVERSAL OF THE TRADES WOULD RESULT IN DAMAGES GREATER THAN \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/24/2014
Complaint Pending?	No



Status: Denied
Status Date: 04/03/2014
Settlement Amount:
Individual Contribution Amount:



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: WELLS FARGO ADVISORS, LLC.
Termination Type: Discharged
Termination Date: 10/14/2014
Allegations: ENTERED INTO A PRIVATE FINANCIAL ARRANGEMENT WITH A CLIENT THAT WAS THE TRUSTEE OF TWO TRUST ACCOUNTS, WITHOUT OBTAINING APPROVAL FROM THE FIRM. THE FIRM'S REVIEW OF THE MATTER WAS NOT PROMPTED BY A CLIENT COMPLAINT, AS THE TRUSTEE DID NOT INITIATE A COMPLAINT REGARDING THIS MATTER.
Product Type: No Product

Reporting Source: Individual
Firm Name: WELLS FARGO
Termination Type: Discharged
Termination Date: 10/14/2014
Allegations: ENTERED INTO A PRIVATE FINANCIAL ARRANGEMENT WITH A CLIENT THAT WAS THE TRUSTEE OF TWO TRUST ACCOUNTS, WITHOUT OBTAINING APPROVAL FROM THE FIRM. THE FIRM'S REVIEW OF THE MATTER WAS NOT PROMPTED BY A CLIENT COMPLAINT, AS THE TRUSTEE DID NOT INITIATE A COMPLAINT REGARDING THIS MATTER.
Product Type: No Product



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:	NATIONAL UNION FIRE INSURANCE CO
Judgment/Lien Amount:	\$6,603.00
Judgment/Lien Type:	Civil
Date Filed with Court:	06/04/2012
Date Individual Learned:	05/17/2015
Type of Court:	State Court
Name of Court:	CHESTER COUNTY PROTHONOTARY
Location of Court:	CHESTER COUNTY, PA
Docket/Case #:	201203693CT
Judgment/Lien Outstanding?	Yes
Broker Statement	THIS WAS PART OF AN EXPENSE CARD FROM MY PREVIOUS COMPANY. I THOUGHT IT WAS SETTLED. I WAS NEVER CONTACTED FOR PAYMENT AND ONLY LEARNED OF ITS EXISTENCE FROM MAY 2015 FINRA REQUEST.



End of Report

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