IAPD Report

RONALD PATRICK CAMERON

CRD# 2551641

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

RONALD PATRICK CAMERON (CRD# 2551641)

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 **10/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	04/08/2019
IA	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	05/08/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	LPL FINANCIAL LLC	6413	FAYETTEVILLE, AR	11/21/2018 - 04/11/2019
IA	LPL FINANCIAL LLC	6413	FAYETTEVILLE, AR	11/21/2018 - 12/17/2018
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	FAYETTEVILLE, AR	12/10/2013 - 12/14/2018

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	2
Customer Dispute	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 **2** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 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	04/08/2019
B	Arkansas	Agent	Approved	05/08/2019
B	Delaware	Agent	Approved	04/26/2023

Branch Office Locations

INTERNATIONAL ASSETS ADVISORY, LLC
3715 N. BUSINESS DRIVE
SUITE 101
FAYETTEVILLE, AR 72703

Employment 2 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	Arkansas	Investment Adviser Representative	Approved	05/08/2019

Branch Office Locations

INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC
3715 N. BUSINESS DRIVE

Qualifications

SUITE 101
FAYETTEVILLE, AR 72703

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	07/26/2005
B	General Securities Representative Examination (S7)	Series 7	11/28/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/27/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/28/1994

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	11/21/2018 - 04/11/2019	LPL FINANCIAL LLC	CRD# 6413	FAYETTEVILLE, AR
IA	11/21/2018 - 12/17/2018	LPL FINANCIAL LLC	CRD# 6413	FAYETTEVILLE, AR
IA	12/10/2013 - 12/14/2018	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	FAYETTEVILLE, AR
B	12/06/2013 - 12/14/2018	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	FAYETTEVILLE, AR
B	12/02/2005 - 12/06/2013	STEPHENS	CRD# 3496	FAYETTEVILLE, AR
IA	12/02/2005 - 12/06/2013	STEPHENS	CRD# 3496	FAYETTEVILLE, AR
IA	03/28/2002 - 12/09/2005	MORGAN STANLEY	CRD# 7556	ROGERS, AR
B	08/08/2001 - 12/09/2005	MORGAN STANLEY DW INC.	CRD# 7556	ROGERS, AR
B	02/24/2000 - 07/31/2001	EDWARD JONES	CRD# 250	ST. LOUIS, MO
B	11/29/1994 - 02/24/2000	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO

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	FAYETTEVILLE, AR, United States
04/2019 - Present	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR	Y	FAYETTEVILLE, AR, United States
11/2018 - 04/2019	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	FAYETTEVILLE, AR, United States
12/2013 - 11/2018	RAYMOND JAMES FINANCIAL SERIVICES, INC.	FINANCIAL ADVISOR	Y	FAYETTEVILLE, AR, United States
12/2013 - 11/2018	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	FAYETTEVILLE, AR, 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) INTERNATIONAL ASSETS INVESTMENT MANAGEMENT LLC 111 N ORANGE AVE, STE 1000, ORLANDO, FL 32801 - RIA AFFILIATE OF INTERNATIONAL ASSETS ADVISORS, LLC - ADVISOR SINCE 4/2019 - APPROX 160 HRS/MO - FEE BASED COMPENSATION
2) NEW HORIZONS AFRICA. LLC 2369 RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - HOLDING CO. FOR NEW HORIZONS MOZAMBIQUE - BOARD OF DIRECTORS MEMBER SINCE 6/2010 - APPROX 20 HRS/MO - NO COMPENSATION
3) NEW HORIZONS MOZAMBIQUE - NEW HORIZONS, CP 157, NAMPUA, MOZAMBIQUE - CHICKEN PRODUCTION COMPANY - BOARD OF DIRECTORS MEMBER SINCE 1/2010 - APPROX 10 HRS/MO - NO COMPENSATION
4) LHBG AVIATION, LLC 2369 RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - HOLDING COMPANY FOR PERSONAL AIRCRAFT - OWNER/MEMBER SINCE 8/2007 - APPROX 0 HRS/MO - NO COMPENSATION
5) RONALD PATRICK CAMERON TRUST 1901 NAPA VALLEY DRIVE, LITTLE ROCK, AR 72212 - TRUST - TRUSTEE/BENEFICIARY SINCE 1985 - APPROX 40 HRS/MO - COMMISSIONS AS ADVISOR, DISTRIBUTIONS AS BENEFICIARY.
6) CBP REALTY, LLC 2369 E. RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - REAL ESTATE HOLDING COMPANY - MANAGE RENTAL PROPERTIES - OWNER SINCE 4/2019 - APPROX 20 HRS/MO - RENTAL INCOME
7) VRV DISTRIBUTION, LLC 2369 E. RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - SALES AND MARKETING FOR VRV, INC., SHUTTING DOWN VRV DISTRIBUTION - OWNER SINCE 8/2018 - O HRS/MO - NO COMPENSATION
8) RPC2 HOLDINGS, LLC 2369 E. RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - REAL ESTATE HOLDING COMPANY - OWNER/MEMBER SINCE 11/2020 - APPROX 2 HR/MO - RENTAL INCOME
9) MORTGAGE HOLDER 2369 E. RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - OWNER SINCE 9/2019 - APPROX 1 HR/MO - PAYMENTS
10) G5:25 LLC 2369 E. RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - REAL ESTATE HOLDING COMPANY - MANAGER SINCE 9/2021 - APPROX 0 HR/MO - NO COMPENSATION
11) NHA MARUITIUS LTD 2369 E. RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - MAURITIUS HOLDING COMPANY - MANAGER SINCE 9/2021 - APPROX 10 HR/MO - NO COMPENSATION
12) E&E PROPERTY HOLDINGS, LLC 2369 E. RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - REAL ESTATE HOLDING COMPANY - MANAGER SINCE 11/2021 - APPROX 5 HRS/MO - RENTAL INCOME
13) RPC AUTO, LLC 2369 E. RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - HOLDING CO. FOR AUTOS - MANAGING MEMBER SINCE 8/2022 - LESS THAN 1 HR/MO - NO COMPENSATION
14) R. PATRICK & JENNIFER CAMERON, LLC 2369 E. RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - HOLDING CO. FOR PERSONAL RESIDENCE - MANAGING MEMBER SINCE 7/2022 - LESS THAN 1 HR/MO - NO COMPENSATION
15) RPC REALTY, LLC dba RPC VENTURES P.O. BOX 10348, FAYETTEVILLE, AR 72703 - REAL ESTATE HOLDING CO. - CEO SINCE 10/2022 - APPROX 5 HRS/MO - NO COMPENSATION
16) RPC VENTURES, LLC P.O. BOX 10348, FAYETTEVILLE, AR 72703 - REAL ESTATE HOLDING CO. - CEO SINCE 10/2022 - APPROX 5 HRS/MO - COMPENSATION THROUGH VARIOUS BUSINESS ENTITIES (RENT, DISTRIBUTIONS, ETC.)
17) 201 SW F ST. LLC - 2369 E RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - REAL ESTATE HOLDING COMPANY - MANAGER SINCE 1/2024 - APPROX 0 HRS/MO - NO COMPENSATION
18) BIYINZIKA POULTRY INTERNATIONAL LTD - 2369 E RIDGEWOOD LANE, FAYETTEVILLE, AR 72703 - POULTRY COMPANY - BOARD MEMBER SINCE 01/2024 - APPROX 2 HRS/MO - NO COMPENSATION.
19) RPC FLORAL LLC, dba THE CENTERPIECE FLORAL & HOME - PO BOX 10348, FAYETTEVILLE, AR 72703 - ONLINE FLORAL SUBSCRIPTION BUSINESS - OWNER/MANAGER SINCE 05/2025 - APPROX 2 HRS/MO - EARNINGS ON SUBSCRIPTIONS AND SALES
20) RPC RIDESHARE, LLC PO BOX 10348, FAYETTEVILLE, AR 72703 - RIDESHARE SERVICE USING UBER AND TESLA - OWNER/MANAGER SINCE 10/2025 - APPROX 5 HRS/MO - PROFIT OVERRIDES
21) 371 EVANS, LLC - 371 EVANS STREET, HUNTSVILLE, AR 72740 - REAL ESTATE HOLDING COMPANY - OWNER/MEMBER SINCE 09/2025 - APPROX 0 HR/MO - RENTAL INCOME

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	2
Customer Dispute	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	04/22/2021
Docket/Case Number:	2018060906101
Employing firm when activity occurred which led to the regulatory action:	Raymond James Financial Services, Inc. and International Assets Advisory, LLC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Cameron consented to the sanctions and to the entry of findings that he engaged in an outside business activity (OBA) without providing prior written notice to his member firms. The findings stated that Cameron filed articles of incorporation with the State of Arkansas for a company he formed to sell recreational vehicles. Cameron was the company's sole owner and manager. The company had gross sales of $29,090 and $88,669 in its first two years. In addition, on Cameron's annual compliance questionnaire, he falsely stated that all of his OBAs had been approved by one of the firms.
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:	04/22/2021
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:	All Capacities
Duration:	five weeks
Start Date:	05/17/2021
End Date:	06/20/2021

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:	06/03/2021
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	05/07/2018
Docket/Case Number:	2018060906101
Employing firm when activity occurred which led to the regulatory action:	RAYMOND JAMES FINANCIAL SERVICES, INC.

Product Type:	No Product
Allegations:	VIOLATION OF RULES 3270 AND 2010.
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:	04/22/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL
Duration:	5 WEEKS
Start Date:	05/17/2021
End Date:	06/20/2021
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:	NONE
Is Payment Plan Current:	No
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Arkansas
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	04/08/2019
Docket/Case Number:	S-19-0033-19-OR01
URL for Regulatory Action:	www.securities.arkansas.gov/!userfiles/Ronald%20Patrick%20Cameron%20Consent%20Order%20S-19-0033-19-OR01.pdf

Employing firm when activity occurred which led to the regulatory action:	Raymond James
Product Type:	No Product
Allegations:	Staff's review of application revealed Cameron resigned from Raymond James because he settled a claim away from the Firm.
Current Status:	Final
Resolution:	Consent
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:	05/06/2019
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$8,000.00
Portion Levied against individual:	$8,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/03/2019
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Individual
Regulatory Action Initiated By:	ARKANSAS
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	04/08/2019
Docket/Case Number:	S-19-0033-19-OR01
Employing firm when activity occurred which led to the regulatory action:	RAYMOND JAMES
Product Type:	No Product
Allegations:	STAFF'S REVIEW OF APPLICATION REVEALED CAMERON RESIGNED FROM RAYMOND JAMES BECAUSE HE SETTLED A CLAIN AWAY FROM THE FIRM.
Current Status:	Final

Resolution:	Consent
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:	05/06/2019
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$8,000.00
Portion Levied against individual:	$8,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/03/2019
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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Raymond James Financial Services,Inc
Allegations:	Concentration, Unsuitable Recommendations, Failure to Disclose Material Facts, Failure to Supervise, Failure to Conduct Due Diligence.
Product Type:	Other: Sector Concentration, Master Limited Partnership
Alleged Damages:	$297,930.00
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 #:	18-01501
Filing date of arbitration/CFTC reparation or civil litigation:	04/24/2018

Customer Complaint Information

Date Complaint Received:	04/26/2018
Complaint Pending?	No
Status:	Settled
Status Date:	09/14/2018
Settlement Amount:	$100,000.00
Individual Contribution Amount:	$0.00
Broker Statement	AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE AS TO COVERAGE

End of Report

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