IAPD Report

FRANKIE RICARDO BRIN

CRD# 2555473

Section Title

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

FRANKIE RICARDO BRIN (CRD# 2555473)

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 **07/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VANDERBILT SECURITIES, LLC	CRD# 5953	02/10/2023
IA	VANDERBILT ADVISORY SERVICES	CRD# 116537	03/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	FRUITLAND PARK, FL	03/02/2015 - 02/27/2023
B	INTERNATIONAL ASSETS ADVISORY, LLC	10645	FRUITLAND PARK, FL	02/02/2015 - 02/27/2023
IA	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	ORLANDO, FL	03/02/2015 - 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
Regulatory Event	1
Termination	1

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

Employment 1 of 2

Firm Name: **VANDERBILT SECURITIES, LLC**

Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Firm ID#: 5953

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/10/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	02/10/2023
B	Alabama	Agent	Approved	03/01/2023
B	California	Agent	Approved	02/13/2023
B	Florida	Agent	Approved	02/28/2023
B	Georgia	Agent	Approved	01/26/2024
B	Illinois	Agent	Approved	03/07/2025
B	Indiana	Agent	Approved	07/15/2026
B	Massachusetts	Agent	Approved	04/13/2026
B	Missouri	Agent	Approved	05/26/2026
B	Nevada	Agent	Approved	07/06/2026
B	New Jersey	Agent	Approved	02/28/2023
B	New York	Agent	Approved	03/11/2023

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Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	03/20/2023
B	Ohio	Agent	Approved	02/13/2024
B	Pennsylvania	Agent	Approved	01/23/2026
B	Tennessee	Agent	Approved	01/26/2024
B	Virginia	Agent	Approved	07/02/2026

Branch Office Locations

3261 US Highway 441, Building D1
Fruitland Park, FL 34731

Employment 2 of 2

Firm Name:	**VANDERBILT ADVISORY SERVICES**
Main Address:	125 FROEHLICH FARM BLVD. WOODBURY, NY 11797
Firm ID#:	116537

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	03/29/2023

Branch Office Locations

VANDERBILT ADVISORY SERVICES
3261 US Highway 441, Building D1
Fruitland Park, FL 34731

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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 1 state securities law exam.

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	General Securities Representative Examination (S7)	Series 7	02/10/2015
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/27/1994

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/24/2008

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

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.

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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	03/02/2015 - 02/27/2023	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	FRUITLAND PARK, FL
B	02/02/2015 - 02/27/2023	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	FRUITLAND PARK, FL
IA	03/02/2015 - 12/31/2015	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	ORLANDO, FL
B	08/22/2014 - 01/26/2015	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
IA	09/10/2013 - 08/01/2014	ING FINANCIAL PARTNERS, INC	CRD# 2882	FRUITLAND PARK, FL
B	08/21/2013 - 08/01/2014	ING FINANCIAL PARTNERS, INC.	CRD# 2882	FRUITLAND PARK, FL
B	10/21/2004 - 08/27/2013	WALNUT STREET SECURITIES, INC.	CRD# 15840	FRUITLAND PARK, FL
IA	01/27/2012 - 08/26/2013	PFG FINANCIAL ADVISORS	CRD# 116021	FRUITLAND PARK, FL
B	08/25/2004 - 10/21/2004	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	02/15/2001 - 09/01/2004	HIGH MARK SECURITIES, INC.	CRD# 42467	LAKELAND, FL
B	03/24/2000 - 02/15/2001	SIGMA FINANCIAL CORPORATION	CRD# 14303	ANN ARBOR, MI
B	02/17/2000 - 03/28/2000	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	PHOENIX, AZ
B	11/01/1994 - 02/22/2000	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY

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
02/2023 - Present	VANDERBILT ADVISORY SERVICES	Investment Advisor Representative	Y	Woodbury, NY, United States

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Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2023 - Present	VANDERBILT SECURITIES, LLC	Registered Representative	Y	Woodbury, NY, United States
01/2015 - 02/2023	INTERNATIONAL ASSETS ADVISORY	INVESTMENT ADVISOR	Y	ORLANDO, 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) BRIN FINANCIAL. Not investment related. Start date: 06/10/2004. Address: 3261 US Highway 441, Building D-1, Fruitland Park FL, 34731. Title: Owner. Duties: Brin Financial is the DBA for fixed insurance business. Time spent during regular hours: 10%.

2) TruChoice Financial. Not investment related. Start date: 05/10/2015. Address: 3261 US Highway 441, Building D-1, Fruitland Park FL, 34731. Title: Agent. Duties: Appointed agent for the sale of fixed insurance products including life, health, disability, fixed, and indexed annuities. Time spent during regular hours: 5%.

3) Ash Brokerage. Not investment related. Start date: 06/10/2004. Address: 3261 US Highway 441, Building D-1, Fruitland Park FL, 34731. Title: Agent. Duties: Appointed agent for the sale of fixed insurance products including life, health, disability, fixed, and indexed annuities. Time spent during regular hours: 5%.

4) Fixed insurance sales. Not investment related. Start date: 09/10/2024. Address: 7539 Park Springs Circle, Orlando FL, 32835. Title: Licensed Agent. Duties: The FMO name is Aim Virtual Advisors. It also advertises under the name Annuity Gator. It's an FMO that provides fixed insurance related products for clients including life insurance, Long-term care, fixed or indexed annuities. Time spent during regular hours: 5%.

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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.

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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
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	02/13/2015
Docket/Case Number:	56633-S
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	ING FINANCIAL PARTNERS
Product Type:	Annuity-Variable
Allegations:	PROHIBITED BUSINESS PRACTICES
Current Status:	Final
Resolution:	Order
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:	02/13/2015

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Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Suspension Other: ASSOCIATED PERSON REQUIRED TO BE PLACE ON HEIGHTENED SUPERVISION WITH INTERNATIONAL ASSET INVESTMENT MANAGEMENT, LLC AND INTERNATIONAL ASSET ADVISORY, LLC.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	15 DAYS
Start Date:	02/13/2015
End Date:	02/28/2015
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
Portion Levied against individual:	$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	02/13/2015
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	ON 2/13/2015, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF FRANKIE RICARDO BRIN. MR. BRIN ADMITS TO AND CONSENTS TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT MR. BRIN ENGAGED IN PROHIBITED BUSINESS PRACTICES BY SUBMITTING INACCURATE INFORMATION REGARDING THE SURRENDER CHARGES IN CONNECTION WITH VARIABLE ANNUITY REPLACEMENT TRANSACTIONS. MR. BRIN AGREED TO PAY AN ADMINISTRATIVE FINE OF $10,000. PURSUANT TO THE FINAL ORDER, MR. BRIN'S REGISTRATIONS WERE SUSPENDED FOR 15 DAYS IN ALL CAPACITIES. THE OFFICE AGREED TO APPROVE MR. BRIN'S APPLICATIONS AS AN ASSOCIATED PERSON (RA) WITH INTERNATIONAL ASSET INVESTMENT MANAGEMENT, LLC AND (AG) WITH INTERNATIONAL ASSET ADVISORY, LLC EFFECTIVE 3/2/2015, SUBJECT TO SEPARATE REGISTRATION AGREEMENTS.

Reporting Source:	Individual
Regulatory Action Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	02/13/2015
Docket/Case Number:	56633-S

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Employing firm when activity occurred which led to the regulatory action:	ING FINANCIAL PARTNERS
Product Type:	Annuity-Variable
Allegations:	PROHIBITED BUSINESS PRACTICES
Current Status:	Final
Resolution:	Order
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:	02/13/2015
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Suspension Other: ASSOCIATED PERSON REQUIRED TO BE PLACE ON HEIGHTENED SUPERVISION WITH INTERNATIONAL ASSET INVESTMENT MANAGEMENT, LLC AND INTERNATIONAL ASSET ADVISORY, LLC.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	15 DAYS
Start Date:	02/13/2015
End Date:	02/28/2015
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,000.00
Portion Levied against individual:	$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	02/13/2015
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	THE INACCURACIES WERE AN ADMINISTRATIVE ERROR. EACH REFERENCED CLIENT VOLUNTARILY SIGNED A NOTARIZED STATEMENT ATTESTING THEY WERE FULLY AWARE OF THE SURRENDER CHARGES. THERE WERE NO CLIENT COMPLAINTS AND I REMAIN IN GOOD STANDING WITH EACH CLIENT.

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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:	ING FINANCIAL PARTNERS, INC
Termination Type:	Discharged
Termination Date:	08/01/2014
Allegations:	REPRESENTATIVE SUBMITTED INACCURATE INFORMATION REGARDING SURRENDER CHARGES IN CONNECTION WITH VARIABLE ANNUITY REPLACEMENT TRANSACTIONS FOR A NUMBER OF CUSTOMERS, EACH OF WHOM WAS OVER THE AGE OF 65.
Product Type:	Annuity-Variable
Firm Statement	REPRESENTATIVE SUBMITTED INACCURATE INFORMATION REGARDING SURRENDER CHARGES IN CONNECTION WITH VARIABLE ANNUITY REPLACEMENT TRANSACTIONS FOR A NUMBER OF CUSTOMERS, EACH OF WHOM WAS OVER THE AGE OF 65.

Reporting Source:	Individual
Firm Name:	ING FINANCIAL PARTNERS INC
Termination Type:	Discharged
Termination Date:	08/01/2014
Allegations:	REPRESENTATIVE SUBMITTED INACCURATE INFORMATION REGARDING SURRENDER CHARGES IN CONNECTION WITH VARIABLE ANNUITY REPLACEMENT TRANSACTIONS FOR A NUMBER OF CUSTOMERS EACH OF WHOM WAS OVER THE AGE OF 65.
Product Type:	Annuity-Variable
Broker Statement	THE INACCURACIES WERE AN ADMINISTRATIVE ERROR. EACH REFERENCED CLIENT VOLUNTARILY SIGNED A NOTARIZED STATEMENT ATTESTING THEY WERE FULLY AWARE OF THE SURRENDER CHARGES. THERE WERE NO CLIENT COMPLAINTS AND I REMAIN IN GOOD STANDING WITH THE CLIENTS.

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End of Report

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