



IAPD Report

IAN E JAMES

CRD# 2602300

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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

IAN E JAMES (CRD# 2602300)

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 **12/22/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|------------------------------------|-------------|------------------|
| B | INTERNATIONAL ASSETS ADVISORY, LLC | CRD# 10645 | 05/15/2020 |
| IA | GLOBAL ASSETS ADVISORY, LLC | CRD# 300460 | 05/19/2020 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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 | BRIDGE CITY, TX | 08/24/2023 - 12/22/2025 |
| IA | GLOBAL PLANNING STEWARDS LLC | 286135 | BATON ROUGE, LA | 05/13/2020 - 05/20/2020 |
| IA | GLOBAL ASSETS ADVISORY, LLC | 300460 | ORLANDO, FL | 05/15/2020 - 05/18/2020 |

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 |



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 **10** 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 Principal | Approved | 05/15/2020 |
| B | FINRA | General Securities Representative | Approved | 05/15/2020 |
| B | FINRA | Invest. Co and Variable Contracts | Approved | 05/15/2020 |
| B | Arkansas | Agent | Approved | 06/29/2020 |
| B | Colorado | Agent | Approved | 06/30/2020 |
| B | Florida | Agent | Approved | 06/11/2020 |
| B | Georgia | Agent | Approved | 06/11/2020 |
| B | Idaho | Agent | Approved | 06/10/2020 |
| B | Louisiana | Agent | Approved | 05/19/2020 |
| B | Mississippi | Agent | Approved | 06/10/2020 |
| B | New York | Agent | Approved | 06/10/2020 |
| B | North Carolina | Agent | Approved | 06/25/2020 |
| B | Texas | Agent | Approved | 06/10/2020 |



Qualifications

Branch Office Locations

INTERNATIONAL ASSETS ADVISORY, LLC
8550 UNITED PLAZA BOULEVARD
SUITE 702
BATON ROUGE, LA 70809

INTERNATIONAL ASSETS ADVISORY, LLC
704 TEXAS AVENUE
BRIDGE CITY, TX 77611

Employment 2 of 2

Firm Name: **GLOBAL ASSETS ADVISORY, LLC**
Main Address: 111 N. ORANGE AVENUE
SUITE 1000
ORLANDO, FL 32801
Firm ID#: 300460

| | Regulator | Registration | Status | Date |
|----|-----------|-----------------------------------|----------|------------|
| IA | Louisiana | Investment Adviser Representative | Approved | 05/19/2020 |
| IA | Texas | Investment Adviser Representative | Approved | 06/10/2020 |

Branch Office Locations

GLOBAL ASSETS ADVISORY, LLC
704 TEXAS AVENUE
BRIDGE CITY, TX 77611

GLOBAL ASSETS ADVISORY, LLC
8550 UNITED PLAZA BLVD
SUITE 702
BATON ROUGE, LA 70809



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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

| | Exam | Category | Date |
|---|--|-----------|------------|
| B | General Securities Principal Examination (S24) | Series 24 | 11/19/2007 |

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 | 11/15/1996 |
| B | Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 09/09/1995 |

State Securities Law Exams

| | Exam | Category | Date |
|---|--|-----------|------------|
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 02/03/1996 |



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 | 08/24/2023 - 12/22/2025 | INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC | CRD# 144426 | BRIDGE CITY, TX |
| IA | 05/13/2020 - 05/20/2020 | GLOBAL PLANNING STEWARDS LLC | CRD# 286135 | BATON ROUGE, LA |
| IA | 05/15/2020 - 05/18/2020 | GLOBAL ASSETS ADVISORY, LLC | CRD# 300460 | ORLANDO, FL |
| IA | 08/18/2014 - 05/12/2020 | INVESTACORP ADVISORY SERVICES INC | CRD# 109011 | BATON ROUGE, LA |
| B | 07/29/2014 - 05/12/2020 | INVESTACORP, INC. | CRD# 7684 | BATON ROUGE, LA |
| B | 10/04/2011 - 07/22/2014 | SUMMIT BROKERAGE SERVICES, INC. | CRD# 34643 | BATON ROUGE, LA |
| IA | 10/04/2011 - 07/22/2014 | SUMMIT FINANCIAL GROUP INC | CRD# 109485 | BATON ROUGE, LA |
| IA | 01/28/2011 - 09/22/2011 | RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC | CRD# 149018 | BATON ROUGE, LA |
| B | 01/14/2011 - 09/22/2011 | RAYMOND JAMES FINANCIAL SERVICES, INC. | CRD# 6694 | BATON ROUGE, LA |
| B | 03/07/2008 - 01/18/2011 | WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC | CRD# 11025 | BATON ROUGE, LA |
| IA | 03/07/2008 - 01/18/2011 | WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC | CRD# 11025 | BATON ROUGE, LA |
| IA | 04/02/2007 - 03/11/2008 | LPL FINANCIAL CORPORATION | CRD# 6413 | BATON ROUGE, LA |
| B | 01/05/2007 - 03/11/2008 | LPL FINANCIAL CORPORATION | CRD# 6413 | BATON ROUGE, LA |
| IA | 01/12/2007 - 01/12/2007 | EDWARD JONES | CRD# 250 | BATON ROUGE, LA |
| B | 01/05/2001 - 01/12/2007 | EDWARD JONES | CRD# 250 | BATON ROUGE, LA |
| B | 10/23/1996 - 01/05/2001 | EDWARD JONES | CRD# 250 | ST. LOUIS, MO |
| B | 11/17/2000 - 11/24/2000 | PRUDENTIAL SECURITIES INCORPORATED | CRD# 7471 | NEW YORK, NY |



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 | 09/19/1995 - 08/27/1996 | METLIFE SECURITIES INC. | CRD# 14251 | SPRINGFIELD, MA |
| B | 09/19/1995 - 08/27/1996 | METROPOLITAN LIFE INSURANCE COMPANY | CRD# 4095 | 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 |
|-------------------|---|-----------------------------------|--------------------|--------------------------------|
| 08/2023 - Present | INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC | INVESTMENT ADVISOR REPRESENTATIVE | Y | BATON ROUGE, LA, United States |
| 05/2020 - Present | GLOBAL ASSETS ADVISORY, LLC | INVESTMENT ADVISOR REPRESENTATIVE | Y | BRIDGE CITY, TX, United States |
| 05/2020 - Present | INTERNATIONAL ASSETS ADVISORY, LLC | REGISTERED REPRESENTATIVE | Y | BRIDGE CITY, TX, United States |
| 01/2007 - Present | CAPITAL FINANCIAL GROUP | OWNER-FINANCIAL ADVISOR | Y | BATON ROUGE, LA, United States |
| 05/2020 - 05/2020 | GLOBAL PLANNING STEWARDS, LLC | INVESTMENT ADVISER REPRESENTATIVE | Y | BATON ROUGE, LA, United States |
| 07/2014 - 05/2020 | INVESTACORP ADVISORY SERVICES | REGISTERED INVESTMENT ADVISOR | Y | MIAMI, FL, United States |
| 07/2014 - 05/2020 | INVESTACORP INC | REGISTERED REPRESENTATIVE | Y | MIAMI, 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) CAPITAL FINANCIAL GROUP, LLC 8550 UNITED PLAZA BLVD, SUITE 702, BATON ROUGE, LA 70809 - PRIVATE LABEL ENTITY FOR FINANCIAL BUSINESS - OWNER SINCE 1/2007 - APPROX 120 HRS/MO - FEES/COMMISSIONS
- 2) JAMES FINANCIAL, LLC 8550 UNITED PLAZA BLVD, SUITE 702, BATON ROUGE, LA 70809 - HOLDING COMPANY - MANAGING MEMBER SINCE 1/2007 - APPROX 0 HRS/MO - NO COMPENSATION
- 3) GLOBAL ASSETS ADVISORY, LLC 111 N. ORANGE AVENUE, SUITE 1000, ORLANDO, FL 32801 - REGISTERED INVESTMENT ADVISOR - INVESTMENT ADVISOR SINCE 5/2020 - APPROX 40 HRS/MO - FEE BASED COMPENSATION
- 4) JACKASS, LLC COEUR D'ALENE RIVER, KINGSTON, ID 83839 - LLC FOR REAL ESTATE HOLDINGS -



Registration & Employment History



OTHER BUSINESS ACTIVITIES

MEMBER/PARTNER SINCE 12/2021 - LESS THAN 1 HR/MO - NO COMPENSATION

5) AUTHOR 19 PHILBROOK WAY, THE WOODLANDS, TX 77382 - CONTRIBUTING BOOK AUTHOR SINCE 4/2022 - APPROX < 1 HR/MO - POTENTIAL BOOK ROYALTIES

6) GOLD CLUB, LLC 37034 EAST HIGHWAY 30, GEISMER, LA 70734 - RESTAURANT/BAR - SILENT PARTNER/OWNER SINCE 5/2023 OWNERSHIP SINCE 02/2024 - APPROX 1 HR/MO - PERIODIC DISTRIBUTIONS



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 |

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: FINRA

Sanction(s) Sought:

Date Initiated: 11/30/2021

Docket/Case Number: [2019061329901](#)

Employing firm when activity occurred which led to the regulatory action: INVESTACORP, INC.; INVESTACORP ADVISORY SERVICES INC

Product Type: No Product

Allegations: Without admitting or denying the findings, James consented to the sanctions and to the entry of findings that he failed to timely amend his Uniform Application for Securities Industry Registration or Transfer (Form U4) to disclose a federal tax lien totaling \$59,997.08. The finding stated that James became aware that the Internal Revenue Service had filed the tax lien against him, and subsequently inaccurately stated on his member firm's annual compliance questionnaire that he had made all necessary amendments to his Form U4, even though he had not done so. James belatedly disclosed the lien on his Form U4 after FINRA inquired with the firm about the lien. The findings also stated that James engaged in an outside business activity without providing written notice to the firm. Through an entity James owned, he made a capital contribution to a medical marijuana company, in the form of a promissory note, in exchange for partial ownership interest in the company. James also formed and became the managing member of a new limited liability company to engage in operational activity for the medical marijuana company. James expected to serve as the medical marijuana company's chief financial officer, and he expected to obtain compensation in that capacity and in connection with his ownership interest in the company. However, James, through



the entity he owned, subsequently filed a lawsuit that alleged, among other things, that the medical marijuana company and its founder breached agreements that James had executed, such that he could not obtain future profits he had anticipated. James received a monetary settlement in connection with his lawsuit.

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:

11/30/2021

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: Two Months
Start Date: 12/20/2021
End Date: 02/19/2022

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: 04/21/2022
Was any portion of penalty waived? No

Amount Waived:
.....

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought:
Date Initiated: 11/30/2021
Docket/Case Number: [2019061329901](#)
Employing firm when activity occurred which led to the regulatory action: INVESTACORP, INC.; INVESTACORP ADVISORY SERVICES, INC.



| | |
|---|---|
| Product Type: | No Product |
| Allegations: | Without admitting or denying the findings, James consented to the sanctions and to the entry of findings that he failed to timely amend his Uniform Application for Securities Industry Registration or Transfer (Form U4) to disclose a federal tax lien totaling \$59,997.08. The finding stated that James became aware that the Internal Revenue Service had filed the tax lien against him, and subsequently inaccurately stated on his member firm's annual compliance questionnaire that he had made all necessary amendments to his Form U4, even though he had not done so. James belatedly disclosed the lien on his Form U4 after FINRA inquired with the firm about the lien. The findings also stated that James engaged in an outside business activity without providing written notice to the firm. Through an entity James owned, he made a capital contribution to a medical marijuana company, in the form of a promissory note, in exchange for partial ownership interest in the company. James also formed and became the managing member of a new limited liability company to engage in operational activity for the medical marijuana company. James expected to serve as the medical marijuana company's chief financial officer, and he expected to obtain compensation in that capacity and in connection with his ownership interest in the company. However, James, through the entity he owned, subsequently filed a lawsuit that alleged, among other things, that the medical marijuana company and its founder breached agreements that James had executed, such that he could not obtain future profits he had anticipated. James received a monetary settlement in connection with his lawsuit. |
| 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: | 11/30/2021 |
| Sanctions Ordered: | Civil and Administrative Penalty(ies)/Fine(s) Suspension |
| Sanction 1 of 1 | |
| Sanction Type: | Suspension |
| Capacities Affected: | ALL CAPACITIES |
| Duration: | TWO MONTHS |
| Start Date: | 12/20/2021 |
| End Date: | 02/19/2022 |
| 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: | |



Was any portion of penalty waived? No

Amount Waived:



End of Report

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