IAPD Report

SCOTT FRANCIS DROSKIE

CRD# 2954696

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

SCOTT FRANCIS DROSKIE (CRD# 2954696)

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 **08/25/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	05/13/2026

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	WELLS FARGO ADVISORS	19616	ST. JOSEPH, MI	05/08/2018 - 03/26/2026
B	WELLS FARGO CLEARING SERVICES, LLC	19616	ST. JOSEPH, MI	05/04/2018 - 03/26/2026
IA	FIFTH THIRD SECURITIES, INC.	628	ST. JOSEPH, MI	11/23/2009 - 05/11/2018

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
Criminal	1
Customer Dispute	3
Termination	2

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: **INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC**

Main Address: 111 NORTH ORANGE AVENUE
SUITE 1000
ORLANDO, FL 32801

Firm ID#: 144426

	Regulator	Registration	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	05/13/2026

Branch Office Locations

INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC
211 HILLTOP RD
#100
ST JOSEPH, MI 49085

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, 2 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	General Securities Representative Examination (S7)	Series 7	12/02/1997

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/18/2009
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/03/1997

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
IA	05/08/2018 - 03/26/2026	WELLS FARGO ADVISORS	CRD# 19616	ST. JOSEPH, MI
B	05/04/2018 - 03/26/2026	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	ST. JOSEPH, MI
IA	11/23/2009 - 05/11/2018	FIFTH THIRD SECURITIES, INC.	CRD# 628	ST. JOSEPH, MI
B	03/23/2005 - 05/11/2018	FIFTH THIRD SECURITIES, INC.	CRD# 628	ST. JOSEPH, MI
B	04/21/2004 - 04/15/2005	SIGMA FINANCIAL CORPORATION	CRD# 14303	ANN ARBOR, MI
B	06/14/2001 - 04/21/2004	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
B	12/04/1997 - 06/18/2001	EDWARD JONES	CRD# 250	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
04/2026 - Present	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	WATERVLIET, MI, United States
05/2018 - 02/2026	Wells Fargo Clearing Services LLC	Registered Rep	Y	Saint Joseph, MI, United States
03/2005 - 05/2018	FIFTH THIRD SECURITIES	RETAIL INVESTMENT CONSULTANT	Y	JACKSON, MI, 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.

No information reported.

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
Criminal	1
Customer Dispute	3
Termination	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	REGULATOR 91A06892
Charge Date:	08/29/1991
Charge Details:	Not Provided
Felony?	No
Current Status:	Final
Status Date:	10/13/1991
Disposition Details:	ON 10-31-1991 I ENTERED A PLEA OF GUILTY TO THE MISDEMEANOR CHARGE OF ISSUING A NON-SUFFICIENT FUNDS CHECK TO SEARS IN THE AMOUNT OF $72.79. THE CHARGE WAS CHECK - NON - SUFFICIENT FUNDS OVER $50.00 BUT LESS THAN $200.00 MISDEMEANOR. COURT ACCEPTED GUILTY PLEA. SENTENCED TO PAY FINE OF $40.00 COURT COSTS OF $80.00, STATE COSTS OF $5.00 AND RESTITUTION TO SEARS $72.79. ALL COSTS WERE PAID IN FULL 10/31/1991 AND THE CASE ORDERED CLOSED.
Broker Statement	ON AUGUST 29, 1991. I WAS PULLED OVER FOR A TRAFFIC VIOLATION BY THE ST. JOSEPH POLICE DEPT. I WAS INFORMED AT THAT TIME OF A MISDEMEANOR CHARGE AGAINST ME FOR WRITTING AN INSUFFICIENT FUNDS CHECK TO SEARS THE PREVIOUS JUNE. I WAS NOT AWARE OF THIS CHARGE AS I WAS IN THE PROCESS OF RELOCATING TO ST JOSEPH AND THE NOTICE MISSED MY ATTENTION OR WAS NOT SENT. I APPEARED IN THE 5TH DISTRICT COURT ON OCT. 31, 1991 AND ENTERED A PLEA OF GUILTY FOR THE CHARGE OF MISDEMEANOR WRITTING AN NSF CHECK OVER $50.00 AND UNDER

$200.00
THE COURT RULED PAYMENT OF COURT COSTS AND A $40.00 FINE AND RESTITUTION TO SEARS IN THE AMOUNT OF $72.79 AND THE CASE CLOSED.

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	The client verbally complained that the Financial Advisor used accounts for collateral against a credit line and without her permission. (10/22/2020 - 7/22/2025)
Product Type:	Other: Priority Credit Line
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Estimated to be $5,000 or more
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/22/2025
Complaint Pending?	No
Status:	Settled
Status Date:	10/14/2025
Settlement Amount:	$16,673.94
Individual Contribution Amount:	$0.00
Broker Statement	I respectfully submit that I committed no wrongdoing in the opening of a collateralized line of credit, and note that it was approved. I believe I appropriately serviced this client, but understand and accept that a settlement was an appropriate resolution of the client's complaint.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIFTH THIRD SECURITIES, INC.
Allegations:	CUSTOMER ALLEGES REGISTERED REPRESENTATIVE PLACED UNAUTHORIZED TRADES OF MUTUAL FUNDS IN HER BROKERAGE ACCOUNTS.

Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CUSTOMER DID NOT CLAIM A SPECIFIC DAMAGE AMOUNT, BUT THE FIRM HAS REASON TO BELIEVE THE AMOUNT TO BE MORE 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:	09/29/2014
Complaint Pending?	No
Status:	Settled
Status Date:	10/27/2014
Settlement Amount:	$51.99
Individual Contribution Amount:	$0.00

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIFTH THIRD SECURITIES, INC.
Allegations:	CUSTOMER ALLEGES REPRESENTATIVE MISREPRESENTED STRUCTURED PRODUCT THAT LED TO PURCHASE IN JULY 2008
Product Type:	Other: STRUCTURED PRODUCT
Alleged Damages:	$18,208.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/09/2009
Complaint Pending?	No
Status:	Settled
Status Date:	06/09/2009
Settlement Amount:	$18,208.00
Individual Contribution Amount:	$0.00

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 2

Reporting Source:	Firm
Firm Name:	WELLS FARGO CLEARING SERVICES, LLC
Termination Type:	Discharged
Termination Date:	02/26/2026
Allegations:	Discharged after a review of concerns involving unauthorized trading.
Product Type:	Equity-OTC

Reporting Source:	Individual
Firm Name:	WELLS FARGO CLEARING SERVICES, LLC
Termination Type:	Discharged
Termination Date:	02/26/2026
Allegations:	Discharged after a review of concerns involving unauthorized trading.
Product Type:	Equity-OTC

Disclosure 2 of 2

Reporting Source:	Individual
Firm Name:	EDWARD JONES
Termination Type:	Discharged
Termination Date:	06/05/2001
Allegations:	MR. DROSKIE'S EMPLOYMENT WAS TERMINATED WHEN HE ACKNOWLEDGED HE HAD SUBMITTED FORMS REQUESTING REIMBURSEMENT FOR SEMINARS TO EDWARD JONES AND MUTUAL FUND AND INSURANCE COMPANIES WHICH CONTAINED INACCURATE INFORMATION
Product Type:	No Product
Other Product Types:	
Broker Statement	MR. DROSKIE RECEIVED A LETTER DATED JANUARY 24, 2002 FROM THE "NYSE" STATING THAT THEY PERFORMED AN INVESTIGATION INTO THIS MATTER AND CONCLUDED THAT "NO ACTION WOULD BE TAKEN" AGAINST MR. DROSKIE.

End of Report

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