## IAPD Report

# ROBERT C HALL

CRD# 4491802


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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

## ROBERT C HALL (CRD# 4491802)

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 **04/27/2026**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | 12/08/2022 |
| IA | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | 12/09/2022 |

## QUALIFICATIONS

This representative is currently registered in **6** 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 |
|---|---|---|---|---|
| B | TRANSAMERICA FINANCIAL ADVISORS, INC | 16164 | TAMPA, FL | 02/08/2021 - 12/13/2022 |
| IA | TRANSAMERICA FINANCIAL ADVISORS, INC. | 16164 | TAMPA, FL | 02/08/2021 - 12/13/2022 |
| IA | INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC | 144426 | TAMPA, FL | 04/29/2019 - 11/02/2020 |

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 |
|---|---|
| Financial | 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 **10** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

Main Address: ONE BRYANT PARK
NEW YORK, NY 10036

Firm ID#: 7691

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Cboe BYX Exchange, Inc. | General Securities Representative | Approved | 12/08/2022 |
| B | Cboe BZX Exchange, Inc. | General Securities Representative | Approved | 12/08/2022 |
| B | Cboe Exchange, Inc. | General Securities Representative | Approved | 12/08/2022 |
| B | FINRA | General Securities Representative | Approved | 12/08/2022 |
| B | Nasdaq Stock Market | General Securities Representative | Approved | 12/08/2022 |
| B | New York Stock Exchange | General Securities Representative | Approved | 12/08/2022 |
| B | Alabama | Agent | Approved | 12/14/2022 |
| B | Connecticut | Agent | Approved | 12/15/2022 |
| B | Florida | Agent | Approved | 12/08/2022 |
| IA | Florida | Investment Adviser Representative | Approved | 12/09/2022 |
| B | Georgia | Agent | Approved | 12/16/2022 |
| B | Maine | Agent | Approved | 01/09/2026 |
| B | Michigan | Agent | Approved | 04/30/2026 |

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## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | New Jersey | Agent | Approved | 12/14/2022 |
| B | New York | Agent | Approved | 12/15/2022 |
| B | Pennsylvania | Agent | Approved | 12/14/2022 |
| B | Texas | Agent | Approved | 12/14/2022 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 01/03/2023 |

### Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
7419 STATE ROAD 52
BAYONET POINT, FL 34667

**MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
910 E TARPON AVE
TARPON SPRINGS, FL 34689

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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, 2 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 | 02/03/2012 |

### State Securities Law Exams

| Exam | Category | Date |
|---|---|---|
| IA B Uniform Combined State Law Examination (S66) | Series 66 | 02/28/2012 |

## PROFESSIONAL DESIGNATIONS

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

No information reported.

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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 |
|---|---|---|---|---|
| B | 02/08/2021 - 12/13/2022 | TRANSAMERICA FINANCIAL ADVISORS, INC | CRD# 16164 | TAMPA, FL |
| IA | 02/08/2021 - 12/13/2022 | TRANSAMERICA FINANCIAL ADVISORS, INC. | CRD# 16164 | TAMPA, FL |
| IA | 04/29/2019 - 11/02/2020 | INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC | CRD# 144426 | TAMPA, FL |
| B | 04/25/2019 - 11/02/2020 | INTERNATIONAL ASSETS ADVISORY, LLC | CRD# 10645 | TAMPA, FL |
| B | 07/11/2017 - 04/17/2019 | INDEPENDENT FINANCIAL GROUP, LLC | CRD# 7717 | Clearwater, FL |
| IA | 07/11/2017 - 04/17/2019 | INDEPENDENT FINANCIAL GROUP, LLC | CRD# 7717 | Clearwater, FL |
| IA | 09/10/2012 - 08/08/2017 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | BAYONET POINT, FL |
| B | 09/07/2012 - 08/08/2017 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | BAYONET POINT, FL |
| IA | 04/27/2012 - 08/27/2012 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | WEEKI WACHEE, FL |
| B | 02/06/2012 - 08/27/2012 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691 | WEEKI WACHEE, FL |

## 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 |
|---|---|---|---|---|
| 08/2022 - Present | Bank Of America N.A. | FSA | Y | Bayonet Point, FL, United States |
| 08/2022 - Present | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | FSA | Y | BAYONET POINT, FL, United States |
| 04/2021 - Present | Robert Hall Enterprises | Consultant | N | HUDSON, FL, United States |
| 02/2021 - Present | TRANSAMERICA FINANCIAL ADVISORS, INC | REGISTERED REPRESENTATIVE | Y | Tampa, FL, United States |

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# Registration & Employment History

## EMPLOYMENT HISTORY

| Employment Dates | Employer Name | Position | Investment Related | Employer Location |
|---|---|---|---|---|
| 10/2020 - Present | WORLD FINANCIAL GROUP | AGENT | N | Tampa, FL, United States |
| 08/2004 - Present | Occasional resale of Season Tickets | Season Ticket Holder | N | Hudson, FL, United States |
| 03/2022 - 08/2022 | Pinnacle Financial Services | Sales Rep | N | Warminster, PA, United States |
| 08/2021 - 08/2022 | MPOWERING AMERICA | Independent agent | N | Henderson, NV, United States |
| 11/2017 - 08/2022 | United Health Group DBA United HealthCare | Independent agent | N | Minnetonkwa, MN, United States |
| 12/2021 - 02/2022 | GEICO | CLAIMS ASSOCIATE | N | LAKELAND, FL, United States |
| 11/2019 - 08/2021 | PASCO COUNTY SCHOOLS | SENIOR GROUP LEADER | N | SHADY HILLS, FL, United States |
| 04/2019 - 10/2020 | INTERNATIONAL ASSETS ADVISORY, LLC | REGISTERED REPRESENTATIVE | Y | TAMPA, FL, United States |
| 04/2019 - 10/2020 | INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC | INVESTMENT ADVISOR | Y | TAMPA, FL, United States |
| 04/2018 - 10/2020 | VITAL GUIDANCE/IAA | IAR | Y | TAMPA, FL, United States |
| 07/2017 - 04/2019 | INDEPENDENT FINANCIAL GROUP | REGISTERED REP | Y | CLEARWATER, FL, United States |
| 08/2017 - 04/2018 | FORTITUDE FINANCIAL GROUP | IAR | Y | CLEARWATER, FL, United States |
| 03/2012 - 07/2017 | BANK OF AMERICA, N.A. | FINANCIAL SOLNS ADVISOR | Y | BAYONET POINT, FL, United States |
| 11/2011 - 07/2017 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | FINANCIAL SOLNS ADVISOR | Y | BAYONET POINT, 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.

Sales of insurance products and non-insurance products, part-time or full-time, for companies affiliated with Transamerica Financial Advisors, Inc.

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# Registration & Employment History

## OTHER BUSINESS ACTIVITIES

Robert Hall Enterprises | NOT INVESTMENT RELATED |12248 Ridgedale Dr, Hudson, FL- Florida 34669 | r.hall@tfaconnect.com | assist with bus docs | Consultant | START DATE: 4/1/2021 | 2HR/MO-0HR DURING TRADING | None daily occasional assistance with business documents/taxes.
United Health Group DBA United HealthCare | NOT INVESTMENT RELATED | 9900 Bren Rd / E. MN008-T-615, Minnetonkwa, MN 55343 |
https://www.uhc.com | Medicare/Medicaid options | Independent agent | START DATE:4/1/2017 | 2HR/MO-0HR DURING TRADING | Assist in annual enrollment and answer questions concerning coverage.

MPOWERING AMERICA | NOT INVESTMENT RELATED | 2485 Village View Dr #109 Henderson, NV- Nevada 89074 | Debt Reduction Program | Independent Agent | https://www.mpoweringamerica.com | START DATE: 8/4/2021 | 10HR/MO-0HR DURING TRADING | Uncover debt when meeting with clients and potential clients.

Pinnacle Financial Services / 0322-Present / Investment Related: No / 65 W Street Rd. Suite A-101 Warminster, PA 18974 / Sales Rep / Medicare Sales / Hrs. Work Monthly: 10 / Sec Trading Hrs: 0 / Provide Medicare options for new enrollees and clients that want to switch during open enrollment

I*2593267, Entity Type: Entity For Profit,Entity Publicly Traded, Name of OBA: doordash, Address: San Francisco, California, 94107, Investment Related: N, Position, Title, Association: ["Employee"], Employee State Date: 07/08/2025, No Hours: 30 Weekly, No Hours during Trading: 0 Weekly, Duties: deliveries deliver food

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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 |
|---|---|
| Financial | 1 |

### Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

**Disclosure 1 of 1**

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Action Type:** | Bankruptcy |
| **Bankruptcy:** | Chapter 7 |
| **Action Date:** | 08/12/2021 |
| **Organization Investment-Related?** | |
| **Type of Court:** | Federal Court |
| **Name of Court:** | United States Bankruptcy Court |
| **Location of Court:** | Tampa, FL |
| **Docket/Case #:** | 8:21-BK-04205-MGW |
| **Action Pending?** | No |
| **Disposition:** | Discharged |
| **Disposition Date:** | 11/16/2021 |

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## End of Report

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