



IAPD Report

ROBERT A LINDBLOOM

CRD# 5029719

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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

ROBERT A LINDBLOOM (CRD# 5029719)

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 **11/19/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	10/14/2019
IA	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	10/29/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	SUMMIT BROKERAGE SERVICES, INC.	34643	PHOENIX, OR	03/26/2015 - 05/02/2019
IA	SUMMIT FINANCIAL GROUP INC	109485	PHOENIX, OR	03/26/2015 - 05/02/2019
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	MEDFORD, OR	02/10/2015 - 03/13/2015

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
Customer Dispute	1
Termination	3



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 4 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	10/14/2019
B California	Agent	Approved	10/15/2019
B Georgia	Agent	Approved	10/15/2019
B Oregon	Agent	Approved	12/17/2019
B Washington	Agent	Approved	01/07/2025

Branch Office Locations

INTERNATIONAL ASSETS ADVISORY, LLC
780 S. Front St
Suite # 120
Central Point, OR 97502

INTERNATIONAL ASSETS ADVISORY, LLC
780 S. Front Street
Suite # 120
Central Point, OR 97502

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 Oregon	Investment Adviser Representative	Approved	10/29/2019



Qualifications

Branch Office Locations

**INTERNATIONAL ASSETS INVESTMENT MANAGEMENT,
LLC**
Medford, OR



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
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No information reported.

General Industry/Product Exams


Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	11/12/2005
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	08/01/2012
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 Uniform Securities Agent State Law Examination (S63)	Series 63	11/28/2005
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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
B	03/26/2015 - 05/02/2019	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	PHOENIX, OR
IA	03/26/2015 - 05/02/2019	SUMMIT FINANCIAL GROUP INC	CRD# 109485	PHOENIX, OR
IA	02/10/2015 - 03/13/2015	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	MEDFORD, OR
B	01/22/2015 - 03/13/2015	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	MEDFORD, OR
IA	01/22/2015 - 02/05/2015	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	MEDFORD, OR
IA	12/11/2013 - 01/21/2015	UMPQUA INVESTMENTS, INC.	CRD# 1254	PORTLAND, OR
B	03/03/2010 - 01/21/2015	UMPQUA INVESTMENTS, INC.	CRD# 1254	PORTLAND, OR
B	11/15/2005 - 03/04/2010	EDWARD JONES	CRD# 250	MEDFORD, OR

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
10/2019 - Present	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REPRESENTATIVE	Y	ORLANDO, FL, United States
10/2019 - Present	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	ORLANDO, FL, United States
09/2017 - Present	DELTA GLOBAL SERVICES	RAMP AGENT	N	MEDFORD, OR, United States
03/2015 - 04/2019	SUMMIT BROKERAGE SERVICES	REPRESENTATIVE REPRESENTATIVE	Y	MEDFORD, OR, United States
03/2015 - 04/2019	SUMMIT FINANCIAL GROUP	IA REP	Y	MEDFORD, OR, 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) LINDBLOOM INVESTMENT SERVICES, LLC 3348 DARRELL DRIVE, MEDFORD, OR 97501 - PRIVATE LABEL ENTITY FOR FINANCIAL SERVICES BUSINESS - OWNER/PRESIDENT SINCE 4/2015 - APPROX 160 HRS/MO - SALARY/COMMISSIONS
- 2) BOY SCOUTS OF AMERICA 3348 DARRELL DRIVE, MEDFORD, OR 97501 - YOUTH SCOUTING PROGRAM - TROUP COMMITTEE MEMBER SINCE 1/2012 - APPROX 4 HRS/MO - NO COMPENSATION
- 3) DGS/DELTA GLOBAL SERVICES 1000 TERMINAL LOOP PARKWAY, MEDFORD, OR 97501 - AIRLINE GROUND CREW SINCE 7/2017 - APPROX 24 HRS/MO - HOURLY WAGE
- 4) INTERNATIONAL ASSETS INVESTMENT MANAGEMENT LLC 111 N ORANGE AVE, STE 1000, ORLANDO, FL 32801 - RIA AFFILIATE OF INTERNATIONAL ASSETS ADVISORS - ADVISOR SINCE 10/2019 - APPROX 160 HRS/MO - FEE BASED COMPENSATION



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
Customer Dispute	1
Termination	3

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: EDWARD JONES

Allegations: 5/6/08-10/00/08; THE CLIENT STATES WHEN SHE FIRST CONTACTED THE OFFICE, SHE WAS LOOKING FOR THE RATE THAT WAS ADVERTISED; SHE INDICATES SHE WAS INFORMED IT WAS NO LONGER AVAILABLE BUT QUOTED A DIFFERENT RATE. SHE INDICATES SHE WAS NOT INFORMED UNTIL SEPTEMBER 2008 THAT THE INTEREST DOES NOT COMPOUND. SHE STATES THE INTEREST WAS GOING INTO MONEY MARKET BUT BECAUSE IT WAS BELOW THE MINIMUM AMOUNT SHE WAS CHARGED THE \$3 MONTHLY FEE. SHE STATES THE FA PRESENTED HER \$50,000 MUNICIPAL BOND, SHE AGREED TO BUY THE BOND. SHE STATES SHE WAS INFORMED THERE WAS AN ADDITIONAL CHARGE OF \$1625, BUT IT WAS NOT ORIGINALLY EXPLAINED WHY THE ADDITIONAL CHARGE. SHE INDICATES SHE WAS LATER INFORMED THIS WAS ACCRUED INTEREST. SHE STATES SHE WAS INFORMED BY THE FA THAT THE PRINCIPAL WAS SAFE, NO CHARGE TO BUY OR SALE AND COULD BE SOLD AT ANYTIME. SHE STATES SHE LATER FOUND OUT IF SHE SOLD THERE WOULD BE A VERY LARGE PENALTY. SHE STATES THE FA PRESENTED ANOTHER \$25000 OF A MUNICIPAL BOND THAT SHE LATER CANCELLED; SHE STATES SHE WAS CHARGED FOR THE MARKET LOSS OF THE CANCELLATION BUT FEELS THE LOSS WAS EXCESSIVE. SHE STATES THE VALUE OF HER ACCOUNT IS DOWN \$5920 SINCE SHE ORIGINALLY PURCHASED THE BOND AND CD.

Product Type: Debt-Municipal

Alleged Damages: \$5,000.00



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: 10/15/2008

Complaint Pending? No

Status: Denied

Status Date: 02/06/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THIS MATTER IS NO LONGER DISCLOSABLE UNDER 14I(3)(A) AS IT OCCURRED MORE THAN 24 MONTHS AGO. THE FA STATES HE REVIEWED WITH THE CLIENT THE ADVANTAGES AND DISADVANTAGES OF THE CD AND MUNICIPAL BONDS HE RECOMMENDED. THE FA INDICATES HE REVIEWED HOW THE INTEREST WAS PAID ON THE CD AND THE MUNICIPAL BONDS. HE ALSO INDICATES HE REVIEWED WITH THE CLIENT THE VALUE OF THE BONDS WOULD BE AFFECTED BY THE MARKET CONDITIONS, BUT THE INTEREST WOULD CONTINUE TO PAY BASED OFF THE FACE VALUE. THE FA INDICATES HE ALSO REVIEWED THIS INFORMATION WITH THE CLIENT'S SON-IN-LAW WHEN HE RAISED CONCERNS REGARDING THE INVESTMENTS. THE FA STATES HE INFORMED THE CLIENT THERE COULD BE MARKET LOSS ON THE CANCELLED BOND TRADE. WHILE WE UNDERSTAND THE CLIENT'S DISAPPOINTMENT WITH THE PERFORMANCE OF THE INVESTMENTS, THE VALUE IS ATTRIBUTABLE TO MARKET FLUCTUATION, WHICH IS A RISK ASSOCIATED WITH INVESTING. THE INVESTMENTS APPEAR TO HAVE BEEN SUITABLE GIVEN THE CLIENT'S STATED OBJECTIVES ON THE ACCOUNT. THE REQUEST FOR REIMBURSEMENT IS DENIED.



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 3

Reporting Source: Firm
Firm Name: SUMMIT BROKERAGE SERVICES, INC.
Termination Type: Discharged
Termination Date: 04/02/2019
Allegations: Representative's registration was terminated after the firm determined that certain client signatures on firm documents were identical
Product Type: No Product

Reporting Source: Individual
Firm Name: SUMMIT BROKERAGE SERVICES, INC.
Termination Type: Discharged
Termination Date: 04/02/2019
Allegations: REPRESENTATIVE'S REGISTRATION WAS TERMINATED AFTER THE FIRM DETERMINED THAT CERTAIN CLIENT SIGNATURES ON FIRM DOCUMENTS WERE IDENTICAL.
Product Type: No Product

Disclosure 2 of 3

Reporting Source: Firm
Firm Name: STIFEL NICOLAUS
Termination Type: Voluntary Resignation
Termination Date: 03/10/2015
Allegations: ROBERT LINDBLOOM RESIGNED FOLLOWING HIS SUSPENSION ON 3/09/2015 FOR PROVIDING INACCURATE INFORMATION DURING THE FIRM'S REVIEW OF HIS SEPARATION FROM HIS PRIOR EMPLOYER.
Product Type: No Product

Reporting Source: Individual
Firm Name: STIFEL NICHOLAS
Termination Type: Voluntary Resignation
Termination Date: 03/10/2015
Allegations: ROBERT LINDBLOOM RESIGNED FOLLOWING HIS SUSPENSION ON 3/09/2015 FOR PROVIDING INACCURATE INFORMATION DURING THE FIRM'S REVIEW OF HIS SEPARATION FROM HIS PRIOR EMPLOYER
Product Type: No Product



Disclosure 3 of 3

Reporting Source: Firm

Firm Name: UMPQUA INVESTMENTS, INC.

Termination Type: Permitted to Resign

Termination Date: 01/15/2015

Allegations: AN OUTSIDE PARTY REQUESTED VERIFICATION OF CERTAIN PERSONAL INFORMATION RELATING TO MR. LINDBLOOM. THE FIRM PROVIDED THE REQUESTED INFORMATION TO THE OUTSIDE PARTY WITH MR. LINDBLOOM'S CONSENT. THE OUTSIDE PARTY SUBSEQUENTLY NOTIFIED THE FIRM THAT THE INFORMATION CONFLICTED WITH OTHER DATA REGARDING MR. LINDBLOOM FROM THE PARTY'S RECORDS. THE FIRM THEN BEGAN AN INTERNAL INVESTIGATION OF THE MATTER, WHICH CONSISTED OF GATHERING CERTAIN DOCUMENTS, E-MAILS, AND OTHER ELECTRONIC FILES, INTERVIEWING MR. LINDBLOOM, AND CONSULTING WITH COUNSEL. FOLLOWING ITS INVESTIGATION, THE FIRM CONCLUDED THAT MR. LINDBLOOM FAILED TO SECURE HIS FIRM COMPUTER AND, AS A RESULT, A NON-EMPLOYEE OF THE FIRM, WITHOUT CONSENT, USED THE COMPUTER FOR PERSONAL PURPOSES AND HAD ACCESS TO MR. LINDBLOOM'S FIRM E-MAIL ACCOUNT, ALL IN VIOLATION OF FIRM POLICY. THE FIRM DOES NOT BELIEVE THAT ANY CUSTOMER INFORMATION WAS COMPROMISED IN CONNECTION WITH THE MATTER.

Product Type: No Product

Reporting Source: Individual

Firm Name: UMPQUA INVESTMENTS

Termination Type: Permitted to Resign

Termination Date: 01/15/2015

Allegations: AN OUTSIDE PARTY REQUESTED VERIFICATION OF CERTAIN PERSONAL INFORMATION RELATING TO ME. THE FIRM PROVIDED THE REQUESTED INFORMATION TO THE OUTSIDE PARTY WITH MY CONSENT. THE OUTSIDE PARTY SUBSEQUENTLY NOTIFIED THE FIRM THAT THE INFORMATION CONFLICTED WITH OTHER DATA REGARDING ME FROM THE PARTY'S RECORDS. THE FIRM THEN BEGAN AN INTERNAL INVESTIGATION OF THE MATTER, WHICH CONSISTED OF GATHERING CERTAIN DOCUMENTS, E-MAILS, AND OTHER ELECTRONIC FILES, INTERVIEWING ME, AND CONSULTING WITH COUNSEL. FOLLOWING ITS INVESTIGATION, THE FIRM CONCLUDED THAT I FAILED TO SECURE MY FIRM COMPUTER AND, AS A RESULT, A NON-EMPLOYEE OF THE FIRM, WITHOUT CONSENT, USED THE COMPUTER FOR PERSONAL PURPOSES AND HAD ACCESS TO FIRM E-MAIL ACCOUNT, ALL IN VIOLATION OF FIRM POLICY. THE FIRM DOES NOT BELIEVE THAT ANY CUSTOMER INFORMATION WAS COMPROMISED IN CONNECTION WITH THE MATTER.

Product Type: No Product



End of Report

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