



IAPD Report

GENE RICHARD DICKISON

CRD# 1216953

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

GENE RICHARD DICKISON (CRD# 1216953)

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 **12/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MTM FINANCIAL GROUP, LLC	CRD# 147221	08/06/2008
B	THE STRATEGIC FINANCIAL ALLIANCE, INC.	CRD# 126514	02/10/2009

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	THE STRATEGIC FINANCIAL ALLIANCE	126514	ATLANTA, GA	02/12/2009 - 07/20/2020
IA	LPL FINANCIAL CORPORATION	6413	BETHLEHEM, PA	01/22/2008 - 05/05/2008
B	LPL FINANCIAL CORPORATION	6413	BETHLEHEM, PA	11/29/2007 - 05/05/2008

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

Employment 1 of 2

Firm Name: **MTM FINANCIAL GROUP, LLC**
Main Address: 4505 HANOVERVILLE ROAD
BETHLEHEM, PA 18020
Firm ID#: 147221






	Regulator	Registration	Status	Date
	Pennsylvania	Investment Adviser Representative	Approved	08/06/2008
	Texas	Investment Adviser Representative	Restricted Approval	03/07/2022

Branch Office Locations

MTM FINANCIAL GROUP, LLC
4505 HANOVERVILLE ROAD
BETHLEHEM, PA 18020

Employment 2 of 2

Firm Name: **THE STRATEGIC FINANCIAL ALLIANCE**
Main Address: 2200 CENTURY PARKWAY
SUITE 500
ATLANTA, GA 30345
Firm ID#: 126514

	Regulator	Registration	Status	Date
	FINRA	Corporate Securities Represent	Approved	02/10/2009
	FINRA	Direct Participation Programs	Approved	02/10/2009
	FINRA	General Securities Representative	Approved	02/10/2009
	FINRA	Invest. Co and Variable Contracts	Approved	02/10/2009
	Delaware	Agent	Approved	03/11/2009



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	09/27/2012
B	Georgia	Agent	Approved	07/08/2014
B	New Jersey	Agent	Approved	03/25/2009
B	New York	Agent	Approved	12/11/2012
B	Pennsylvania	Agent	Approved	02/12/2009
B	South Carolina	Agent	Approved	02/18/2009
B	Virginia	Agent	Approved	02/10/2009
B	Wyoming	Agent	Approved	11/06/2013

Branch Office Locations

THE STRATEGIC FINANCIAL ALLIANCE
4505 HANOVERVILLE ROAD
BETHLEHEM, PA 18020

THE STRATEGIC FINANCIAL ALLIANCE
5109 Neola Road
Stroudsburg, PA 18360



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, 5 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	05/20/1996
B Corporate Securities Limited Representative Examination (S62)	Series 62	10/31/1988
B Direct Participation Programs Representative Examination (S22)	Series 22	03/19/1984
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/23/1984

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	01/23/1984



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	02/12/2009 - 07/20/2020	THE STRATEGIC FINANCIAL ALLIANCE	CRD# 126514	ATLANTA, GA
IA	01/22/2008 - 05/05/2008	LPL FINANCIAL CORPORATION	CRD# 6413	BETHLEHEM, PA
B	11/29/2007 - 05/05/2008	LPL FINANCIAL CORPORATION	CRD# 6413	BETHLEHEM, PA
IA	03/26/1996 - 11/20/2007	VALLEY NATIONAL ADVISERS INC	CRD# 110788	BETHLEHEM, PA
B	02/07/1996 - 11/19/2007	VALLEY NATIONAL INVESTMENTS, INC.	CRD# 16715	BETHLEHEM, PA
B	01/24/1984 - 01/17/1996	CIGNA FINANCIAL ADVISORS, INC.	CRD# 145	RADNOR, PA

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
02/2009 - Present	THE STRATEGIC FINANCIAL ALLIANCE, INC.	REGISTERED REPRESENTATIVE & IAR	Y	ATLANTA, GA, United States
06/2008 - Present	MTM FINANCIAL GROUP, LLC	PRESIDENT	Y	BETHLEHEM, PA, 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. MORE THAN MONEY, LLC. INVESTMENT RELATED. 4505 HANOVERVILLE ROAD BETHLEHEM, PA 18020. FINANCIAL INFORMATION PROVIDED TO THE PUBLIC THROUGH VARIOUS MEDIA INCLUDING, BUT NOT LIMITED TO: TELEVISION, RADIO, WEB SITE, AND PRINT. THE COMPANY ALSO OWNS THE OFFICE BUILDING LEASED BY MTM FINANCIAL GROUP, LLC AND ONE ADDITIONAL TENANT. PRESIDENT. 01/2008. 10 HOURS/MONTH. 2 DURING TRADING. HOST OF TV AND RADIO SHOWS, CREATOR OF PRINTED MATERIALS, OVERSIGHT OF WEBSITE, DESIGN AND PRODUCTION OF LIVE EVENTS.
2. MTM FINANCIAL GROUP, LLC. INVESTMENT RELATED. 4505 HANOVERVILLE ROAD BETHLEHEM, PA 18020. REGISTERED INVESTMENT ADVISER AND TAX PREPARATION. OWNER. 01/2008. 150 HOURS/MONTH, 130 DURING TRADING. PROVIDE PORTFOLIO MANAGEMENT AND FINANCIAL PLANNING SERVICES. INCOME TAX PREPARATION.
3. SEVEN NOTES HOMESTEAD. NOT INVESTMENT RELATED. DICKISON LANE, STROUDSBURG, PA. RENTAL HOME. PROPERTY TO BE MANAGED BY DAUGHTER. OWNER. 06/2021. 8 HOURS/MONTH, 4 DURING TRADING. PROVIDE



Registration & Employment History



OTHER BUSINESS ACTIVITIES

CAPITAL AND COLLECT RENTS, WILL PRIMARILY BE PASSIVE OWNER AS DAY TO DAY RESPONSIBILITIES WILL BE MANAGED BY MY CHILDREN.



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	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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	VALLEY NATIONAL INVESTMENTS, INC.
Allegations:	CUSTOMER ALLEGES THAT DICKISON PLACED UNAUTHORIZED TRANSACTIONS IN CUSTOMER'S ACCOUNT ON 03/09/2007 AND 03/13/2007.
Product Type:	Mutual Fund
Alleged Damages:	\$15,139.00
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:	11/19/2007
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	11/19/2009
Settlement Amount:	

Individual Contribution Amount:



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: VALLEY NATIONAL INVESTMENTS, INC.

Allegations: CUSTOMER ALLEGES THAT DICKISON PLACED UNAUTHORIZED TRANSACTIONS IN CUSTOMER'S ACCOUNT ON 03/09/07 AND 03/13/07.

Product Type: Mutual Fund(s)

Alleged Damages: \$15,139.00

Customer Complaint Information

Date Complaint Received: 11/19/2007

Complaint Pending? No

Status: Denied

Status Date: 05/15/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: Misrepresentation of PLM Growth Fund V.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/01/1991

Complaint Pending? No

Status: Settled

Status Date: 12/10/1991

Settlement Amount: \$34,000.00

Individual Contribution Amount:

Firm Statement Client accepted settlement of \$34,000.00
Not Provided

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGATIONS CENTERED ON AN INVESTMENT CUSTOMER MADE INTO



PLM GROWTH FUND V. CLIENT ALLEGED THE PROGRAM WAS NOT EXPLAINED CORRECTLY & HIS DECISION TO INVEST \$375,000 INTO PLM WAS IMPROPERLY INFLUENCED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/01/1991

Complaint Pending? No

Status: Settled

Status Date: 12/10/1991

Settlement Amount: \$34,000.00

Individual Contribution Amount:

Broker Statement SETTLED FOR \$34,000
NOT PROVIDED

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: Client alleged that Mr. Dickison made an unsuitable recommendation exceeding suitability requirement in the State of Pennsylvania which states that an investment may not exceed 10% of a client's net worth.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/07/1991

Complaint Pending? No

Status: Settled

Status Date: 04/21/1992

Settlement Amount: \$30,000.00

Individual Contribution Amount:

Firm Statement Client accepted settlement amount of \$30,000.00
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:



Allegations: ALLEGATIONS CONCERN CUSTOMER'S SUITABILITY
TO PURCHASE CERTAIN LIMITED PARTNERSHIPS & SHE FURTHER
QUESTIONS ACTIONS WITH REGARD TO AN IRA ROLLOVER.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/07/1991

Complaint Pending? No

Status: Settled

Status Date: 04/21/1992

Settlement Amount: \$30,000.00

**Individual Contribution
Amount:**

Broker Statement REVERSAL OF COMMISSIONS
NOT PROVIDED



End of Report

This page is intentionally left blank.