IAPD Report

RICHARD ADDISON STEELE

CRD# 1336981

Section Title	Page(s)

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

RICHARD ADDISON STEELE (CRD# 1336981)

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 **04/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	12/05/2025
IA	LPL FINANCIAL LLC	CRD# 6413	12/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	OMAHA, NE	03/28/2005 - 12/10/2025
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	OMAHA, NE	01/26/1996 - 12/10/2025
IA	CAMBRIDGE INVESTMENT RESERARCH, INC.	39543	OMAHA, NE	10/01/1998 - 03/28/2005

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
Criminal	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 **11** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	12/05/2025
B	FINRA	General Securities Representative	Approved	12/05/2025
B	Colorado	Agent	Approved	12/05/2025
B	Florida	Agent	Approved	04/03/2026
B	Indiana	Agent	Approved	03/16/2026
B	Iowa	Agent	Approved	12/15/2025
B	Massachusetts	Agent	Approved	12/05/2025
B	Missouri	Agent	Approved	12/05/2025
B	Nebraska	Agent	Approved	12/05/2025
IA	Nebraska	Investment Adviser Representative	Approved	12/12/2025
B	New Jersey	Agent	Approved	12/05/2025
B	South Dakota	Agent	Approved	12/15/2025
B	Texas	Agent	Approved	12/05/2025

Qualifications

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	12/05/2025
B	Virginia	Agent	Approved	12/05/2025

Branch Office Locations

LPL FINANCIAL LLC
11590 WEST DODGE ROAD
OMAHA, NE 68154

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/30/2001

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	09/09/2006
B	General Securities Representative Examination (S7)	Series 7	11/16/1985
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/31/1985

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/29/1986

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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.

 Report about RICHARD ADDISON STEELE.

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	03/28/2005 - 12/10/2025	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	OMAHA, NE
B	01/26/1996 - 12/10/2025	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	OMAHA, NE
IA	10/01/1998 - 03/28/2005	CAMBRIDGE INVESTMENT RESERARCH, INC.	CRD# 39543	OMAHA, NE
B	04/03/1995 - 12/31/1995	ENERIC FINANCIAL SERVICES, INC.	CRD# 11761	FAIRFIELD, IA
B	10/17/1985 - 12/17/1993	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	
B	02/01/1985 - 12/17/1993	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN

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
12/2025 - Present	LPL Financial LLC	registered rep	Y	Elkhorn, NE, United States
11/2006 - 11/2025	CAMBRIDGE INVESTMENT RESEARCH, INC.	ASSOCIATED PERSON (NFA)	Y	FAIRFIELD, IA, United States
03/2005 - 11/2025	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	IA REP	Y	FAIRFIELD, IA, United States
01/1996 - 11/2025	CAMBRIDGE INVESTMENT RESEARCH, INC.	REG REP	Y	FAIRFIELD, IA, 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)10/15/2025 - Integrity Wealth Management - Inv Rel - At Reported Business Location(s)
2)10/15/2025 - Integrity Leasing, LLC - Business Entity For Tax/Investment Purposes Only - Inv Rel - At Reported Business Location(s) - Start: 01/2016 - 5 Hr/Mth
3)10/15/2025 - Bridge Marketing, Inc - Business Entity For Tax/Investment Purposes Only - Inv Rel - At Reported Business Location(s) - Start: 01/2016 - 6 Hr/Mth

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
Criminal	2

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:	Individual
Regulatory Action Initiated By:	STATE OF NEBRASKA, DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	02/28/1994
Docket/Case Number:	1 1139
Employing firm when activity occurred which led to the regulatory action:	IDS
Product Type:	No Product
Other Product Type(s):	
Allegations:	BASED UPON MY CONVICTION FOR ATTEMPTED DELIVERY OF A CONTROLLER SUBSTANCE, THE DEPARTMENT OF INSURANCE SUSPENDED MY INSURANCE LICENSE FOR 6 MONTHS. SPECIFIC ALLEGATION WAS THAT I WAS FOUND GUILTY OF ATTEMPTED DELIVERY OF A CONTROLLED SUBSTANCE BY THE DISTRICT COURT OF DOUGLAS COUNTY, NEBRASKA.
Current Status:	Final
Resolution:	Order
Resolution Date:	03/04/1994
Sanctions Ordered:	Suspension

Other Sanctions Ordered:	NONE
Sanction Details:	THE RESULT WAS TEMPORARY SUSPENSION OF MY NEBRASKA RESIDENT AGENT INSURANCE LICENSE FOR 6 MONTHS FROM 3/4/94 TO 9/4/94.
Broker Statement	AFTER MY SALES AGREEMENT WITH MY OLD BROKER - DEALER (IDS FINANCIAL SERVICES & IDS LIFE INSURANCE CO) WAS TERMINATED, THEY INFORMED THE NEBR DEPT OF INSURANCE THAT I WAS NO LONGER AN AGENT OF IDS LIFE DUE TO MY CONVICTION FOR ATTEMPTED DELIVERY OF A CONTROLLED SUBSTANCE. THE NEBR DEPT OF INS THEN CONTACTED ME REQUESTING A HEARING. THE RESULT OF THE HEARING WAS A TEMPORARY SUSPENSION OF MY INS LICENSE. UPON NOTIFICATION OF THE COMPLETION OF MY PROBATION AND THE EXPUNGEMENT OF MY CONVICTION BY THE DOUGLAS COUNTY COURT, THE NE DEPT OF INS REINSTATED MY RESIDENT AGENTS LICENSE.

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 2

Reporting Source: Firm

Court Details: DOUGLAS COUNTY DISTRICT COURT
132-852

Charge Date: 05/20/1993

Charge Details: FELONY CONVICTION FOR DELIVERY OF COCAINE.

Felony? Yes

Current Status: Final

Status Date: 02/21/1995

Disposition Details: FELONY - TERMINATED.

Firm Statement PLANNER WAS TERMINATED FOLLOWING HIS FELONY CONVICTION FOR COCAINE DELIVERY.

Reporting Source: Individual

Court Details: DISTRICT COURT OF DOUGLAS COUNTY, NE
132 # 852

Charge Date: 05/20/1993

Charge Details: ATTEMPTED DELIVERY OF A CONTROLLED SUBSTANCE ($75 OF COCAINE)

Felony? Yes

Current Status: Final

Status Date: 02/21/1995

Disposition Details: GIVEN 2 YEARS PROBATION ON 10/25/93. BASED ON BEHAVIOR & COMM SERVICE DURING AND PRIOR TO ACTION, PROBATION W/ALL RESTRICTIONS WAS TERMINATED BY THE JUDGE ON 5/19/94. BASED ON SAME, CONVICTION WAS EXPUNDGED (NULLIFIED) ON 2/21/95 BY SAME JUDGE. 22E5, BASED ON CONVICTION, NEBR INS. LICENSE WAS TEMPORARILY SUSPENDED 3/94 AND AFTER TERMINATION OF PROBATION, WAS REINSTATED 9/94.

Broker Statement AS PER COURT DOCUMENTS DATED 2/21/1995 FROM THE DISTRICT COURT OF DOUGLAS COUNTY, NE, THIS CONVICTION WAS "NULLIFIED" AND "ALL CIVIL DISABILITIES AND DISQUALIFICATIONS IMPOSED AS A RESULT OF THE CONVICTION ARE REMOVED."

Disclosure 2 of 2

Reporting Source: Individual

Court Details: DISTRICT COURT OF DOUGLAS COUNTY, NEBRASKA
DOCKET 105 #145

Charge Date: 05/14/1979

Charge Details:	POSSESSION AND DISTRIBUTION OF A CONTROLLED SUBSTANCE. (COCAINE)
Felony?	Yes
Current Status:	Final
Status Date:	10/22/1981
Disposition Details:	GIVEN 3 YRS PROBATION ON 7/30/79. FINED $1,000. GIVEN 30 DAYS OF WORK- RELEASE AT A COUNTY HALFWAY HOUSE DURING WEEKENDS AND SCHOOL VACATIONS. BASED UPON ATTENDANCE AND PROGRESS AS A FULL-TIME COLLEGE STUDENT, AND WORK AS A COUNSELOR WITH THE BOY SCOUTS OF AMERICA, THE JUDGE TERMINATED PROBATION AND NULLIFIED CONVICTION 10/22/81. FINE OF $1,000 WAS PAID FROM PAY AT BOY SCOUT SUMMER CAMP AND 30 DAYS SCHOOL/WORK RELEASE WAS COMPLETED PRIOR TO NULLIFICATION OF CONVICTION AND TERMINATION OF PROBATION.
Broker Statement	AS PER COURT DOCUMENTS DATED 10/22/1981 FROM US DISTRICT COURT OF DOUGLAS COUNTY, NE, THIS CONVICTION WAS "NULLIFIED AND ALL CIVIL DISABILITIES AND DISQUALIFICATIONS IMPOSED AS A RESULT OF THE CONVICTION WERE REMOVED THE SAME AS THOUGH A PARDON HAD BEEN ISSUED."

End of Report

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