



IAPD Report

KEVIN PATRICK PEARCE

CRD# 1470425

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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

KEVIN PATRICK PEARCE (CRD# 1470425)

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 **12/18/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	02/07/2014
IA	INTEGRITY ALLIANCE, LLC	CRD# 139627	02/12/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	611	OMAHA, NE	06/03/2005 - 01/24/2014
B	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	611	OMAHA, NE	03/05/1986 - 01/24/2014
IA	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	611	OMAHA, NE	01/06/2003 - 02/09/2004

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	1



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

Employment 1 of 1

Firm Name: **INTEGRITY ALLIANCE, LLC**
Main Address: 4135 NW URBANDALE DR
URBANDALE, IA 50322
Firm ID#: 139627

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/07/2014
B	FINRA	Invest. Co and Variable Contracts	Approved	02/07/2014
B	Arizona	Agent	Approved	05/14/2014
B	California	Agent	Approved	03/26/2014
B	Colorado	Agent	Approved	03/24/2014
B	Florida	Agent	Approved	03/18/2014
B	Illinois	Agent	Approved	02/27/2014
B	Iowa	Agent	Approved	02/07/2014
B	Kansas	Agent	Approved	02/07/2014
B	Missouri	Agent	Approved	02/20/2014
B	Nebraska	Agent	Approved	02/12/2014
IA	Nebraska	Investment Adviser Representative	Approved	02/12/2014
B	Ohio	Agent	Approved	12/08/2020



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	02/29/2016
B Utah	Agent	Approved	07/03/2024
B Virginia	Agent	Approved	02/25/2014
B Wyoming	Agent	Approved	04/12/2016

Branch Office Locations

INTEGRITY ALLIANCE, LLC
10831 OLD MILL ROAD
SUITE 200A
OMAHA, NE 68154

INTEGRITY ALLIANCE, LLC
1200 S Outer Road
Blue Springs, MO 64015



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, 3 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
General Securities Representative Examination (S7)	Series 7	02/06/1996
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/27/1986

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/18/2002
Uniform Securities Agent State Law Examination (S63)	Series 63	02/22/1986

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	06/03/2005 - 01/24/2014	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	OMAHA, NE
B	03/05/1986 - 01/24/2014	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	OMAHA, NE
IA	01/06/2003 - 02/09/2004	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	OMAHA, NE
B	02/07/1996 - 05/02/2002	KIRKPATRICK, PETTIS, SMITH, POLIAN INC.	CRD# 490	OMAHA, NE

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
02/2014 - Present	INTEGRITY ALLIANCE, LLC	REGISTERED REP/INVESTMENT ADVISOR	Y	OMAHA, NE, 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. PEARCE MANAGEMENT INC, P O BOX 540732, OMAHA, NE 68154, HOLDING COMPANY, INSURANCE AGENT, NORMAL BUSINESS HOURS, APPX 2-15 HOURS/WEEK, START DATE 03/08/2004,
2. PEARCE FINANCIAL SERVICES, DBA FOR FIXED INSURANCE AND SECURITIES BUSINESS. SELL FIXED INSURANCE AND SECURITIES TO CLIENTS WANTING TO DIVERSIFY THEIR RETIREMENT INCOME. 160 HOURS MONTHLY.
3. NEBRASKA MILLION LLC, 10831 OLD MILL RD STE 300 OMAHA NE 68154; INVESTING IN START UP COMPANIES; MEMBER; 11/09/2015; 2 HOURS PER MONTH; 0 HOURS DURING TRADING; LISTINING TO START UP COMPANIES PRESENTATION FOR REQUEST FOR START UP MONEY
4. CAMBRIDGE OAKES HOMEOWNER ASSOCIATION; OMAHA NE; MEMBER OF BOARD OF HOMEOWNER ASSOC; VOTING MEMBER; 04/05/2016; 2-5 HOURS; 0 HOURS; VOTE ON ISSUES REGARDING THE HOMEOWNERS
5. Cash Rent for Farmland; PO Box 540997 Omaha NE 68154; Owner of farmland to rent; Start date 01/29/2017; hours per month 1 hour; 0 hours during trading.
6. Omaha Home For Boys Foundation; Not investment related; 4343 N. 52nd Street, Omaha, NE 68104; Board Member; Director; 01/01/2025; 4 hours per month; 1 hours during security hours; Assist with financial endowment fund



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	1

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: Firm

Employing firm when activities occurred which led to the complaint: MUTUAL OF OMAHA INVESTOR SERVICES, INC.

Allegations: THE CUSOMER ALLEGED THAT THE REPRESENTATIVE DID NOT INFORM HIM OF THE WITHDRAWAL PROVISIONS ASSOCIATED WITH THE VARIABLE ANNUITY'S RIDER.

Product Type: Annuity-Variable

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC DAMAGES ALLEGED.

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: 03/25/2014

Complaint Pending? No

Status: Denied



Status Date: 04/15/2014

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MUTUAL OF OMAHA INVESTOR SERVICES, INC.

Allegations: THE CUSTOMER ALLEGED THAT I DID NOT INFORM HIM OF THE WITHDRAWAL PROVISIONS ASSOCIATED WITH THE VARIABLE ANNUITY

Product Type: Annuity-Variable

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC DAMAGES ALLEGED

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: 03/25/2014

Complaint Pending? No

Status: Denied

Status Date: 04/15/2014

Settlement Amount:

Individual Contribution Amount:



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 1

Reporting Source: Firm
Firm Name: MUTUAL OF OMAHA INVESTOR SERVICES, INC.
Termination Type: Discharged
Termination Date: 01/17/2014
Allegations: WHILE SUBJECT TO HEIGHTENED SUPERVISION IN CONNECTION WITH THE PURCHASE OF MUTUAL FUND SHARES, THE REPRESENTATIVE'S ASSISTANT SENT A CLIENT INCOMPLETE NEW ACCOUNT DOCUMENTS FOR SIGNATURE. UPON RECEIPT OF THE SIGNED, INCOMPLETE DOCUMENTS, THE REPRESENTATIVE FILLED IN THE MISSING SUITABILITY AND OTHER INFORMATION, SIGNED AND SUBMITTED THE DOCUMENTS TO THE FIRM FOR PRINCIPAL APPROVAL WITHOUT OBTAINING WRITTEN CLIENT ACKNOWLEDGEMENT OR APPROVAL OF THE ADDED INFORMATION.

Product Type: Mutual Fund

Reporting Source: Individual
Firm Name: MUTUAL OF OMAHA INVESTOR SERVICES
Termination Type: Discharged
Termination Date: 01/17/2014
Allegations: WHILE SUBJECT TO HEIGHTENED SUPERVISION IN CONNECTION WITH THE PURCHASE OF MUTUAL FUND SHARES, THE REPRESENTATIVE'S ASSISTANT SENT A CLIENT INCOMPLETE NEW ACCOUNT DOCUMENTS FOR SIGNATURE. UPON RECEIPT OF THE SIGNED, INCOMPLETE DOCUMENTS, THE REPRESENTATIVE FILLED IN THE MISSING SUITABILITY AND OTHER INFORMATION, SIGNED AND SUBMITTED THE DOCUMENTS TO THE FIRM FOR PRINCIPAL APPROVAL WITHOUT OBTAINING WRITTEN CLIENT ACKNOWLEDGEMENT OR APPROVAL OF THE ADDED INFORMATION.

Product Type: Mutual Fund

Broker Statement KEVIN PEARCE DISPUTES THE STATEMENTS MADE BY MOIS IN HIS U-5 AND STATES HIS TERMINATION WAS WRONGFUL. THE FOLLOWING IS BASED UPON THE CLIENT'S AFFIDAVIT. IN EARLY 2014 A LONG TERM CLIENT REQUESTED BY TELEPHONE THAT PEARCE OPEN A UNIFORM GIFT TO MINOR ACT ACCOUNT FOR A MINOR GREAT GRANDDAUGHTER. PEARCE DID NOT HAVE ALL OF THE NECESSARY INFORMATION TO COMPLETE THE APPLICATION FOR THE CLIENT. PEARCE SENT THE APPLICATION TO THE CLIENT WITH INSTRUCTIONS TO COMPLETE AND SIGN THE APPLICATION. THE CLIENT SIGNED, BUT DID NOT COMPLETE THE APPLICATION BEFORE RETURNING IT TO PEARCE. PEARCE CALLED THE CLIENT TO INFORM THE CLIENT THAT HE WAS GOING TO RETURN THE APPLICATION FOR COMPLETION. THE CLIENT ASKED PEARCE TO COMPLETE THE APPLICATION ON HIS BEHALF AND PROVIDED PEARCE THE MISSING INFORMATION REGARDING HIS GREAT GRANDCHILD. PEARCE, KNOWING THAT IT WAS A COMMON AND LONG TERM MOIS PRACTICE TO CALL AGENTS RATHER THAN CUSTOMERS FOR



INFORMATION MISSING FROM APPLICATIONS AND/OR FILES, HE HONORED THE CLIENT'S REQUEST BY INSERTING THE MISSING INFORMATION. MOIS COMPLETED THE TRANSACTION ON BEHALF OF THE CLIENT.



End of Report

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