



IAPD Report

NATALIE YVONNE YAKSICK

CRD# 1668809

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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

NATALIE YVONNE YAKSICK (CRD# 1668809)

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 **10/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	07/02/2026
IA	INTEGRITY ALLIANCE, LLC	CRD# 139627	07/07/2026

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	LPL FINANCIAL LLC	6413	GREENSBURG, PA	08/03/2022 - 07/15/2026
IA	LPL FINANCIAL LLC	6413	GREENSBURG, PA	08/03/2022 - 07/15/2026
IA	CETERA INVESTMENT ADVISERS LLC	105644	SOMERSET, PA	02/12/2014 - 08/30/2022

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	6



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 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 Principal	Approved	07/02/2026
B	FINRA	General Securities Representative	Approved	07/02/2026
B	FINRA	Government Securities Representative	Approved	07/02/2026
B	FINRA	Invest. Co and Variable Contracts	Approved	07/02/2026
B	Florida	Agent	Approved	07/03/2026
B	Ohio	Agent	Approved	07/02/2026
B	Pennsylvania	Agent	Approved	07/07/2026
IA	Pennsylvania	Investment Adviser Representative	Approved	07/07/2026
B	South Carolina	Agent	Approved	07/08/2026

Branch Office Locations

INTEGRITY ALLIANCE, LLC
999 Eisenhower Blvd
Suite D2-6
Johnstown, PA 15904



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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/02/2004

General Industry/Product Exams

Exam	Category	Date
 Government Securities Representative Examination (S72)	Series 72	01/02/2023
 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/21/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/16/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/29/1988

PROFESSIONAL DESIGNATIONS

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

No information reported.

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](#).



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	08/03/2022 - 07/15/2026	LPL FINANCIAL LLC	CRD# 6413	GREENSBURG, PA
IA	08/03/2022 - 07/15/2026	LPL FINANCIAL LLC	CRD# 6413	GREENSBURG, PA
IA	02/12/2014 - 08/30/2022	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	SOMERSET, PA
B	02/12/2014 - 08/30/2022	CETERA INVESTMENT SERVICES LLC	CRD# 15340	SOMERSET, PA
B	11/20/2013 - 02/13/2014	LPL FINANCIAL LLC	CRD# 6413	GREENSBURG, PA
IA	11/20/2013 - 02/13/2014	LPL FINANCIAL LLC	CRD# 6413	GREENSBURG, PA
IA	11/08/2007 - 11/05/2013	CCO INVESTMENT SERVICES CORP.	CRD# 39550	MONESSEN, PA
B	08/27/2007 - 11/05/2013	CCO INVESTMENT SERVICES CORP.	CRD# 39550	MONESSEN, PA
B	02/03/1998 - 08/06/2007	NATCITY INVESTMENTS, INC.	CRD# 17490	GREENSBURG, PA
B	01/04/1999 - 12/31/2001	NATCITY INSURANCE SERVICES, INC.	CRD# 16989	CLEVELAND, OH
B	08/03/1998 - 01/04/1999	LIBERTY SECURITIES CORPORATION	CRD# 14416	PURCHASE, NY
B	05/14/1998 - 08/03/1998	INDEPENDENT FINANCIAL SECURITIES, INC.	CRD# 19924	
B	02/24/1994 - 02/04/1998	PNC BROKERAGE CORP	CRD# 34671	PITTSBURGH, PA
B	01/03/1994 - 01/21/1994	LINSICO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	10/16/1992 - 12/31/1993	LINSICO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	11/08/1991 - 09/30/1992	JOHN NUVEEN & CO., INCORPORATED	CRD# 469	CHICAGO, IL
B	05/04/1989 - 09/06/1991	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY



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	11/25/1987 - 03/20/1989	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	

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
07/2026 - Present	Integrity Alliance	Registered Representative/Investment Adviser Representative	Y	Greensburg, PA, United States
08/2022 - 07/2026	LPL Financial LLC	Registered Representative	Y	North Huntingdon, PA, United States
02/2014 - 08/2022	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SOMERSET, PA, United States
02/2014 - 08/2022	CETERA INVESTMENT SERVICES LLC	REGISTERED REP	Y	ST.CLOUD, MN, 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.Perspective Wealth Planning- Investment Related-yes, 999 Eisenhower Blvd, Ste. D2, Johnstown, PA 15904, Nature of business-provider of investment and insurance solutions and services, Position-Wealth advisor, Start date-05/13/26,160 Hours Per Month/ 160 Hours During Trading, Duties- Wealth advisor providing investment and insurance solutions and services to individuals and business owners for today and tomorrow to ensure the preservation and growth of their monies over time for peace of mind and legacy planning purposes.
- 2.TriBridge Wealth Partners - DBA for LPL Business (entity for LPL business) - Investment Related -yes, 2009 MacKenzie Way, Ste.100, Cranberry Township, PA 16006,Nature of business -Investment advisory and wealth management services and solutions, Position-owner, Start Date 08/01/2024 - 120 Hours Per Month/ 6 Hours During Trading, Duties-Wealth Advisor that manages investments and services investors with respect to all aspects of financial planning.



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	6

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 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CCO INVESTMENT SERVICES CORP.
Allegations:	CLIENT'S ATTORNEY ALLEGES THAT MS. YAKSICK FAILED TO PERFORM A SUITABILITY ANALYSIS OF [CUSTOMER'S] INVESTMENTS WHEN SHE INHERITED THE ACCOUNT IN 2008 CAUSING [CUSTOMER] TO INCUR SUBSTANTIAL MONETARY LOSSES.
Product Type:	Mutual Fund
Alleged Damages:	\$90,000.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES NOTED IN STATEMENT OF CLAIM ARE \$90,000.00. THERE IS A FURTHER UNSPECIFIED CLAIM FOR ATTORNEYS FEES, INTEREST, COSTS AND PUNITIVE DAMAGES.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA ARBITRATION
Docket/Case #:	11-02701
Filing date of arbitration/CFTC reparation or civil litigation:	07/06/2011



Customer Complaint Information

Date Complaint Received: 07/18/2011
Complaint Pending? No
Status: Settled
Status Date: 02/04/2013
Settlement Amount: \$27,500.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: NATCITY INVESTMENTS, INC.
Allegations: CUSTOMERS ALLEGE THAT THE INVESTMENT RECOMMENDATIONS THEY RECEIVED WERE UNSUITABLE.
Product Type: Money Market Fund(s)
Alleged Damages: \$113,282.00

Customer Complaint Information

Date Complaint Received: 05/30/2006
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 05/30/2006
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 06-01767
Date Notice/Process Served: 05/30/2006
Arbitration Pending? No
Disposition: Settled
Disposition Date: 04/18/2007
Monetary Compensation Amount: \$25,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 6

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

NATCITY INVESTMENTS, INC. AND NATCITY INSURANCE SERVICES, INC.

Allegations:

CUSTOMER ALLEGED MISREPRESENTATION BY REGISTERED REPRESENTATIVE YAKSICK IN THE 01/05/99 \$50,000 PROVIDENT CALLABLE STEP-DOWN CERTIFICATE OF DEPOSIT SALE.

Product Type:

CD(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

07/26/2000

Complaint Pending?

No

Status:

Settled

Status Date:

08/16/2000

Settlement Amount:

\$9,750.00

Individual Contribution Amount:

\$0.00

Broker Statement

SETTLEMENT OFFERED BY NATCITY SOLELY TO AVOID COSTS OF LITIGATION. NATCITY'S INTERNAL REVIEW CONCLUDED THAT THE PRODUCT WAS SUITABLE FOR THE CUSTOMER. REGISTERED REPRESENTATIVE YAKSICK DID NOT CONTRIBUTE TO THE SETTLEMENT.

Disclosure 4 of 6

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

NATCITY INVESTMENTS, INC AND NATCITY INSURANCE SERVICES, INC

Allegations:

CUSTOMER ALLEGED MISREPRESENTATION BY REGISTERED REPRESENTATIVE YAKSICK IN THE 01/05/1999 \$24,000 PROVIDENT CALLABLE STEPDOWN CERTIFICATE OF DEPOSIT SALE AND THE 03/02/1999 \$21,000 LASALLE CALLABLE STEPDOWN CERTIFICATE OF DEPOSIT SALE.

Product Type:

CD(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

03/29/2000

Complaint Pending?

No

Status:

Settled

Status Date:

04/06/2000

Settlement Amount:

\$8,825.40

Individual Contribution Amount:

\$0.00

Broker Statement

SETTLEMENT OFFERED BY NATCITY SOLELY TO AVOID COSTS OF LITIGATION. NATCITY'S INTERNAL REVIEW CONCLUDED THAT THE PRODUCT WAS SUITABLE FOR THE CUSTOMER. REGISTERED



REPRESENTATIVE YAKSICK DID NOT CONTRIBUTE TO THIS SETTLEMENT.

Disclosure 5 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NATCITY INVESTMENTS, INC AND NATCITY INSURANCE SERVICES, INC

Allegations: CUSTOMER ALLEGED MISREPRESENTATION BY REGISTERED REPRESENTATIVE YAKSICK IN THE 01/29/1999 \$58,000 LASALLE CALLABLE STEP-DOWN CERTIFICATE OF DEPOSIT SALE AND 01/29/1999 \$59,000 LASALLE CALLABLE STEP-DOWN CERTIFICATE OF DEPOSIT SALE.

Product Type: CD(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/11/2000

Complaint Pending? No

Status: Settled

Status Date: 04/17/2000

Settlement Amount: \$24,359.40

Individual Contribution Amount: \$0.00

Broker Statement SETTLEMENT OFFERED BY NATCITY SOLELY TO AVOID COSTS OF LITIGATION. NATCITY'S INTERNAL REVIEW CONCLUDED THAT THE PRODUCT WAS SUITABLE FOR THE CUSTOMER. REGISTERED REPRESENTATIVE YAKSICK DID NOT CONTRIBUTE TO THIS SETTLEMENT.

Disclosure 6 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NATCITY INVESTMENTS, INC AND NATCITY INSURANCE SERVICES, INC

Allegations: CUSTOMER ALLEGES MISREPRESENTATION BY FINANCIAL CONSULTANT IN THE 03/16/99 SALES OF \$100,000 EUROPEAN AMERN, \$100,000 LASALLE, \$100,000 LASALLE AND 4/21/99 SALE OF \$20,000 LASALLE BANK CERTIFICATES OF DEPOSIT.

Product Type: CD(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 02/17/2000

Complaint Pending? No

Status: Settled

Status Date: 03/03/2000

Settlement Amount: \$61,340.00



**Individual Contribution
Amount:**

\$0.00

Broker Statement

SETTLEMENT OFFERED BY NATCITY SOLELY TO AVOID COSTS OF LITIGATION. NATCITY'S INTERNAL REVIEW CONCLUDED THAT THE PRODUCT WAS PROPERLY REPRESENTED AND WAS SUITABLE FOR THE CUSTOMER. REGISTERED REPRESENTATIVE YAKSICK DID NOT CONTRIBUTE TO THIS SETTLEMENT.



End of Report

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