



## IAPD Report

# RAYMOND ARTHUR EVANS 111

CRD# 1858973

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
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

### RAYMOND ARTHUR EVANS 111 (CRD# 1858973)

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 **11/04/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	INTEGRITY ALLIANCE, LLC.	CRD# 139627	08/23/2006
<b>IA</b>	INTEGRITY ALLIANCE, LLC	CRD# 139627	12/18/2007

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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>IA</b>	FIRST HEARTLAND CONSULTANTS, INC.	110377	ROGERS, AR	01/31/2006 - 07/05/2006
<b>B</b>	FIRST HEARTLAND CAPITAL, INC.	32460	ROGERS, AR	11/20/2001 - 07/05/2006
<b>IA</b>	FIRST HEARTLAND ADVISORS INC	110377	ROGERS, AR	03/20/2003 - 10/30/2003

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	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 **21** 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>B</b>	FINRA	General Securities Principal	Approved	08/23/2006
<b>B</b>	FINRA	General Securities Representative	Approved	08/23/2006
<b>B</b>	Alabama	Agent	Approved	07/11/2019
<b>B</b>	Arkansas	Agent	Approved	09/01/2006
<b>IA</b>	Arkansas	Investment Adviser Representative	Approved	12/18/2007
<b>B</b>	California	Agent	Approved	10/13/2020
<b>B</b>	Colorado	Agent	Approved	03/15/2012
<b>B</b>	District of Columbia	Agent	Approved	09/23/2008
<b>B</b>	Florida	Agent	Approved	06/27/2007
<b>B</b>	Hawaii	Agent	Approved	12/19/2011
<b>B</b>	Illinois	Agent	Approved	03/19/2013
<b>B</b>	Iowa	Agent	Approved	08/24/2015
<b>B</b>	Kansas	Agent	Approved	08/20/2010



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Louisiana	Agent	Approved	07/06/2018
<b>B</b> Michigan	Agent	Approved	06/20/2013
<b>B</b> Minnesota	Agent	Approved	09/17/2008
<b>B</b> Missouri	Agent	Approved	12/13/2007
<b>B</b> Nebraska	Agent	Approved	11/07/2014
<b>B</b> Nevada	Agent	Approved	11/30/2015
<b>B</b> Ohio	Agent	Approved	04/29/2015
<b>B</b> Oklahoma	Agent	Approved	02/12/2008
<b>B</b> Texas	Agent	Approved	02/01/2008
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	04/23/2013
<b>B</b> Washington	Agent	Approved	09/16/2008
<b>B</b> Wisconsin	Agent	Approved	01/11/2008

### Branch Office Locations

**INTEGRITY ALLIANCE, LLC**  
409 W POPLAR ST  
ROGERS, AR 72756



## 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, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	06/11/1993

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
National Commodity Futures Examination (S3)	Series 3	02/27/1989
General Securities Representative Examination (S7)	Series 7	07/16/1988

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	11/14/2000
Uniform Securities Agent State Law Examination (S63)	Series 63	08/03/1988

### PROFESSIONAL DESIGNATIONS

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

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	01/31/2006 - 07/05/2006	FIRST HEARTLAND CONSULTANTS, INC.	CRD# 110377	ROGERS, AR
B	11/20/2001 - 07/05/2006	FIRST HEARTLAND CAPITAL, INC.	CRD# 32460	ROGERS, AR
IA	03/20/2003 - 10/30/2003	FIRST HEARTLAND ADVISORS INC	CRD# 110377	ROGERS, AR
B	02/01/2000 - 08/30/2001	WORLD SECURITIES, INC.	CRD# 39431	JOPLIN, MO
B	12/19/1997 - 11/19/1999	SUNPOINT SECURITIES, INC.	CRD# 25442	LONGVIEW, TX
B	05/22/1995 - 10/17/1997	CAPITAL SECURITIES OF AMERICA, INC.	CRD# 36405	HARTVILLE, OH
B	10/27/1994 - 05/31/1995	SAPERSTON FINANCIAL INC.	CRD# 27863	BUFFALO, NY
B	08/04/1994 - 10/27/1994	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	KNOXVILLE, TN
B	01/07/1993 - 07/26/1994	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	11/25/1992 - 11/28/1992	FIRST AFFILIATED SECURITIES	CRD# 23737	LA JOLLA, CA
B	09/18/1992 - 11/19/1992	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	11/06/1991 - 06/15/1992	EDWARD D. JONES & CO., L.P.	CRD# 250	ST. LOUIS, MO
B	10/15/1988 - 11/20/1991	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	07/21/1988 - 10/31/1988	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	



## Registration & Employment History

### 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
08/2006 - Present	BROKERS INTERNATIONAL FINANCIAL SVCS, LLC	Registered Representative	Y	ROGERS, AR, United States
08/1992 - Present	SELF-EMPLOYED	INSURANCE SALES	N	ROGERS, AR, 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.INDEPENDENT INSURANCE AGENT;YES;409 W POPLAR STREET ROGERS, AR 72756;FIXED INSURANCE SALES;INDEPENDENT INSURANCE AGENT;1/2004;48;48;SALE OF FIXED INSURANCE PRODUCTS
- 2.OZARK TAX ADVISORY;NO;409 W POPLAR STREET ROGERS, AR 72756;DBA;OWNER;01/2004;32;32;DBA FOR TAX PREP & PLANNING AND BOOKKEEPING
- 3.OZARK FINANCIAL SERVICES OF NWA, INC.;YES;409 W POPLAR STREET ROGERS, AR 72756;DBA;OWNER;1/1992;160;160;DBA FOR INSURANCE AND SECURITIES SALES
- 4.R&E EVANS PROPERTIES, LLC;NOT INVESTMENT RELATED;409 W POPLAR STREET ROGERS, AR 72756;REAL ESTATE;OWNER;01/30/20122 HOURS PER MONTH; 0 HOURS DURING SECURITIES OFFICE HOURS;RENTAL PROPERTY OWNERSHIP & MANAGEMENT. COMPLETE REPAIRS, WHEN NEEDED.



## 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	2

### 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:** CAPITAL SECURITIES OF AMERICA, INC.

**Allegations:** MR EVANS ALLEGEDLY RECEIVED 72,000 SHARES OF INTERACTIVE TELESIS (TSIS) IN A PRIVATE TRANSACTION AND REFUSED TO COMPENSATE TSIS \$10,000 FOR STOCK.

**Product Type:**

**Alleged Damages:** \$10,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Litigation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Civil Litigation Information

**Court Details:** SUPERIOR; SAN DIEGO, CA; 75642

**Date Notice/Process Served:** 05/29/1997



<b>Litigation Pending?</b>	Yes
<b>Firm Statement</b>	SUIT NOT SETTLED YET, ANSWER IS CURRENTLY BEING PREPARED MR EVANS ARRANGED FOR A PRIVATE TRANSACTION OF TSIS STOCK WITHOUT NOTIFYING CAPITAL SECURITIES OF AMERICA IN WRITING. TSIS CLAIMS MR EVANS OWES \$10,000 FOR STOCK DELIVERED, MR EVANS CLAIMS TSIS GAVE HIM THE STOCK.
.....	
<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	CAPITAL SECURITIES OF AMERICA, INC.
<b>Allegations:</b>	CUSTOMER COMPLAINT FOR A PRIVATE TRANSACTION THAT WASN'T PAID FOR. ALLEGEDLY RECEIVED 72,000 SHARES OF INTERACTIVE TELESIS (TSIS) IN A PRIVATE TRANSACTION AND REFUSED TO COMPENSATE TSIS FOR \$10,000 OF STOCK
<b>Product Type:</b>	Equity - OTC
<b>Alleged Damages:</b>	\$10,000.00
<b>Customer Complaint Information</b>	
<b>Date Complaint Received:</b>	06/02/1997
<b>Complaint Pending?</b>	No
<b>Status:</b>	Litigation Settled
<b>Status Date:</b>	08/16/1998
<b>Settlement Amount:</b>	\$19,500.00
<b>Individual Contribution Amount:</b>	\$19,500.00
<b>Civil Litigation Information</b>	
<b>Court Details:</b>	SUPERIOR; SAN DIEGO, CA; 75642
<b>Date Notice/Process Served:</b>	08/07/1997
<b>Litigation Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	08/16/1998
<b>Monetary Compensation Amount:</b>	\$19,500.00
<b>Individual Contribution Amount:</b>	\$19,500.00
<b>Broker Statement</b>	SETTLEMENT IS COMPLETE. ON THE SHARES IN DISPUTE, THE PROCEEDS FROM THE ORDER EXCEEDS THE ENTIRE SETTLEMENT THAT WAS AGREED UPON BY ME. I HAD ALSO DISMISSED MY CROSS COMPLAINT AGAINST INTERACTIVE TELESIS ON 7/13/1988.



## 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 2

**Reporting Source:** Individual  
**Firm Name:** CAPITAL SECURITIES OF AMERICA, INC.  
**Termination Type:** Discharged  
**Termination Date:** 08/07/1997  
**Allegations:** UNKNOWN  
CUSTOMER COMPLAINT. FOR A PRIVATE TRANSACTION THAT WASN'T PAID FOR.  
**Product Type:** Equity - OTC

### Other Product Types:

**Broker Statement** SETTLEMENT COMPLETE: 8/16/1998. DONALD CAMERON OF INTERACTIVE TELESIS HAS NEVER BEEN A CUSTOMER OF MINE OR CAPITAL SECURITIES. SCOTT CAMERON, DON'S BROTHER, FAILED TO PAY FOR A TRADE THAT HE HAD DONE WITH ME. CAPITAL SECURITIES HAD PUT TRADE IN MY ACCOUNT UNTIL FUNDS CAME IN TO SETTLE THE TRADE. THE FUNDS NEVER CAME IN. WEEKS LATER, AFTER ATTEMPTING TO COLLECT FUNDS, SCOTT HAD OFFERED TO SELL ME SOME STOCK PERSONALLY TO MAKE UP THE DIFFERENCE HE OWED ME - CLOSE TO \$2000.00.

### Disclosure 2 of 2

**Reporting Source:** Individual  
**Firm Name:** EDWARD D JONES & CO.  
**Termination Type:** Discharged  
**Termination Date:** 05/28/1992  
**Allegations:** FAILURE TO REVEAL MATERIAL FACT AT THE TIME OF EMPLOYMENT.  
**Product Type:** Equity - OTC

### Other Product Types:

**Broker Statement** TERMINATION  
I DO NOT BELIEVE I VIOLATED 22N(1) OR ANY OTHER ITEM ON PAGE 3. I WAS DISCHARGED FROM EDWARD D JONES & CO. BECAUSE THEY BELIEVE I SHOULD HAVE REPORTED A LAWSUIT INVOLVING CAR SALES ON THE U-4. THIS WAS INITIATED AND SETTLED WHILE I WAS AT SHEARSON LEHMAN BROS. WHEN I LEFT, THEY DID NOT DECLARE ANYTHING ON THE U-5 OR ADVISE ME TO AMEND MY U-4. TWO REPRESENTATIVES AT THE ARK. SECURITIES DEPT. SAID THE SUIT WAS NOT APPROPRIATE FOR THE U-4.



## End of Report

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