



IAPD Report

SCOTT WILLIAM NORVELL

CRD# 2196706

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

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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

SCOTT WILLIAM NORVELL (CRD# 2196706)

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 **04/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INTEGRITY ALLIANCE, LLC	CRD# 139627	03/21/2022
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	03/21/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	OMAHA, NE	08/28/2020 - 02/22/2022
IA	LPL FINANCIAL LLC	6413	OMAHA, NE	08/28/2020 - 02/22/2022
IA	CETERA ADVISORS LLC	10299	OMAHA, NE	06/16/2006 - 09/01/2020

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	1
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 7 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	03/21/2022
B FINRA	General Securities Representative	Approved	03/21/2022
B FINRA	Invest. Co and Variable Contracts	Approved	03/21/2022
B Arizona	Agent	Approved	03/28/2022
B Arkansas	Agent	Approved	03/28/2022
B Iowa	Agent	Approved	03/21/2022
B Nebraska	Agent	Approved	03/22/2022
IA Nebraska	Investment Adviser Representative	Approved	03/28/2022
B New Mexico	Agent	Approved	03/23/2022
B South Dakota	Agent	Approved	07/30/2024
B Texas	Agent	Approved	04/14/2022
IA Texas	Investment Adviser Representative	Restricted Approval	03/21/2022

Branch Office Locations



Qualifications

INTEGRITY ALLIANCE, LLC

15808 W Dodge Rd
Suite 200
Omaha, NE 68118




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	06/26/1995

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	02/01/1994
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/03/1992

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	09/03/1996
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/03/1992

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
B	08/28/2020 - 02/22/2022	LPL FINANCIAL LLC	CRD# 6413	OMAHA, NE
IA	08/28/2020 - 02/22/2022	LPL FINANCIAL LLC	CRD# 6413	OMAHA, NE
IA	06/16/2006 - 09/01/2020	CETERA ADVISORS LLC	CRD# 10299	OMAHA, NE
B	05/22/2006 - 09/01/2020	CETERA ADVISORS LLC	CRD# 10299	OMAHA, NE
IA	02/07/2002 - 06/12/2006	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	COLUMBUS, NE
B	06/01/2001 - 06/12/2006	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	COLUMBUS, NE
B	01/28/1998 - 06/07/2001	VESTAX SECURITIES CORPORATION	CRD# 10332	HUDSON, OH
B	05/18/1995 - 02/02/1998	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	01/28/1992 - 05/25/1995	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC

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
03/2022 - Present	Integrity Alliance, LLC	Registered Representative	Y	Omaha, NE, United States
05/1995 - Present	TAGGE & RUTHERFORD FIN GROUP	OTHER - PARTNER LICENSED PRINCIPAL	Y	ELKHORN, NE, United States
08/2020 - 01/2022	LPL Financial, LLC	Registered Representative	Y	Omaha, NE, United States
01/2013 - 08/2020	CETERA ADVISORS LLC	REGISTERED REP/IAR	Y	EL SEGUNDO, CA, United States



Registration & Employment History



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. TR Financial; investment related; 15808 W. Dodge Rd, Suite 200, Omaha, NE 68818; DBA for securities; Managing Executive/Partner; 04/03/1995; 125 hours per month, 125 hours during securities hours; Managing Executive/Partner, Sales and Service.
2. 15808 W. Dodge Rd, LLC; not investment related; 15808 W. Dodge Rd, Suite 200, Omaha, NE 68818; Real Estate Rental; Owner; 11/01/2017; 0 hours per month, 0 hours during securities hours; office rental
3. Norvell Inc.; investment related; 15808 W. Dodge Rd, Suite 200, Omaha, NE 68818; individual LLC for business purposes; Owner; 04/03/1995; 125 hours per month; 125 hours during securities hours; owner of business LLC.
4. Insurance Agent; not investment related; 15808 W. Dodge Rd, Suite 200, Omaha, NE 68818; Insurance Agent; 01/01/2012; 2 hours per month, 2 hours during securities hours. Sales of Insurance products.



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	1
Customer Dispute	3

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:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	11/22/2023
Docket/Case Number:	2020065106301
Employing firm when activity occurred which led to the regulatory action:	Cetera Advisors LLC, LPL Financial LLC

Product Type: Annuity-Variable

Allegations: Without admitting or denying the findings, Norvell consented to the sanctions and to the entry of findings that he negligently misrepresented the death benefits that customers would receive following exchanging their existing variable annuity products for a different variable annuity product. The findings stated that Norvell negligently misrepresented to these customers that the new product had a guaranteed death benefit that was equal to the greater of the account value or the customer's contributions, less adjusted withdrawals. However, the guaranteed death benefit was only available by selecting an optional rider on the application and paying an additional fee. Norvell did not select the rider on the applications for these transactions or collect the additional fee. As a result, the customers did not receive a guaranteed death benefit. A majority of the transactions took place after Norvell's supervisor had notified him that he had failed to select the optional death benefit rider in connection with a different transaction. The findings also stated that Norvell caused his member firm to maintain inaccurate books and records by



falsifying signatures of senior customers by electronically signing documents on their behalf. Although Norvell had prior permission from the customers, the firm prohibited signing a customer's name or initials regardless of the customer's knowledge or consent. In addition, Norvell falsely attested in a compliance questionnaire that he had not signed or affixed another person's signature on a document.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

11/22/2023

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	Two-and-one-half months
Start Date:	12/18/2023
End Date:	03/03/2024

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	01/16/2024
Was any portion of penalty waived?	No



Amount Waived:

.....

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Date Initiated: 11/22/2023

Docket/Case Number: [2020065106301](#)

Employing firm when activity occurred which led to the regulatory action: Brokers International Financial Services, LLC.

Product Type: Annuity-Variable

Allegations: Norvell negligently misrepresented facts to customers about the death benefits of variable annuity exchanges. Also, between November and December 2020, Norvell electronically signed with prior permission from customers, a total of 13 documents. Norvell also falsely attested in an April 2021 compliance questionnaire that he had not signed or affixed another person's signature on a document.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 11/22/2023

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All Capacities

Duration: 2.5 months

Start Date: 12/18/2023

End Date: 03/03/2024

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:



Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement There was no intent to deceive, customer complaint, or customer harm.



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 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Nebraska Judicial Branch
Location of Court:	Douglas County, NE
Docket/Case #:	CR 08 0012629
Charge Date:	04/18/2008
Charge(s) 1 of 1	
Formal Charge(s)/Description:	False Information
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	No Plea
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	12/29/2008
Disposition Date:	12/29/2008
Sentence/Penalty:	dropped/dismissed
Broker Statement	I was falsely charged and the court agreed and found me innocent



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:	Individual
Employing firm when activities occurred which led to the complaint:	MULTI-FINANCIAL
Allegations:	THE CLIENT ALLEGES SHE WAS UNAWARE OF THE INVESTMENT SHE WAS MAKING.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$5,000.00
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:	09/04/2012
Complaint Pending?	No
Status:	Withdrawn
Status Date:	09/11/2012
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	VESTAX SECURITIES CORPORATION
Allegations:	CLIENT ALLEDGES LESS THAN FULL DISCLOSURE REGARDING A 1035 EXCHANGE OF A VARIABLE LIFE POLICY IN 10/99.
Product Type:	Other
Other Product Type(s):	VARIABLE LIFE
Alleged Damages:	\$8,000.00

Customer Complaint Information

Date Complaint Received:	01/28/2003
Complaint Pending?	No



Status: Closed/No Action

Status Date: 03/17/2003

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: VESTAX SECURITIES CORPORATION

Allegations: CLIENT ALLEGES LESS THAN FULL DISCLOSURE REGARDING A 1035 EXCHANGE OF A VARIABLE LIFE POLICY IN 10/99.

Product Type: Other

Other Product Type(s): VARIABLE LIFE

Alleged Damages: \$8,000.00

Customer Complaint Information

Date Complaint Received: 01/28/2003

Complaint Pending? No

Status: Closed/No Action

Status Date: 03/17/2003

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ROYAL ALLIANCE ASSOCIATES, INC.

Allegations: ALLEGE LESS THAN FULL DISCLOSURE REGARDING VARIABLE ANNUITY EXCHANGE IN OCTOBER 1999

Product Type: Annuity(ies) - Variable

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 01/23/2003

Complaint Pending? No

Status: Closed/No Action

Status Date: 03/17/2003

Settlement Amount:

Individual Contribution Amount:



End of Report

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