



IAPD Report

DAVID ALLEN LISKA

CRD# 2374477

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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

DAVID ALLEN LISKA (CRD# 2374477)

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 **11/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KAUFMAN ROSSIN WEALTH, LLC	CRD# 301921	11/05/2020
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	11/03/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	LION STREET FINANCIAL, LLC	165828	Fort Lauderdale, FL	02/02/2024 - 11/03/2025
B	INNOVATION PARTNERS LLC	146344	Fort Lauderdale, FL	03/24/2021 - 12/26/2023
IA	J.P. MORGAN SECURITIES LLC	79	AVENTURA, FL	12/13/2017 - 01/03/2020

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
Customer Dispute	3
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 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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	11/03/2025
B	Florida	Agent	Approved	11/05/2025

Branch Office Locations

INTEGRITY ALLIANCE, LLC
100 SE 3rd Ave
Suite 2400
Fort Lauderdale, FL 33394

Employment 2 of 2

Firm Name: **KAUFMAN ROSSIN WEALTH, LLC**
Main Address: 3310 MARY STREET
SUITE 501
MIAMI, FL 33133
Firm ID#: 301921

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	11/05/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	07/19/2024

Branch Office Locations

KAUFMAN ROSSIN WEALTH, LLC
100 SE 3RD AVENUE
SUITE 2400



Qualifications

FORT LAUDERDALE, FL 33394




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	06/20/2005

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/01/1995
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/28/1994

State Securities Law Exams

	Exam	Category	Date	
	 Uniform Combined State Law Examination (S66)	Series 66	01/10/2003	
		Uniform Securities Agent State Law Examination (S63)	Series 63	04/04/1994

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	02/02/2024 - 11/03/2025	LION STREET FINANCIAL, LLC	CRD# 165828	Fort Lauderdale, FL
B	03/24/2021 - 12/26/2023	INNOVATION PARTNERS LLC	CRD# 146344	Fort Lauderdale, FL
IA	12/13/2017 - 01/03/2020	J.P. MORGAN SECURITIES LLC	CRD# 79	AVENTURA, FL
B	12/06/2017 - 01/03/2020	J.P. MORGAN SECURITIES LLC	CRD# 79	AVENTURA, FL
IA	08/18/2016 - 10/30/2017	SUNTRUST ADVISORY SERVICES, INC.	CRD# 283390	HOLLYWOOD, FL
B	12/16/1997 - 10/30/2017	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	HOLLYWOOD, FL
IA	03/03/2003 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	HOLLYWOOD, FL
B	07/12/1995 - 12/11/1997	GRIFFIN FINANCIAL SERVICES	CRD# 10823	
B	03/21/1995 - 07/05/1995	ESSEX NATIONAL SECURITIES, INC.	CRD# 25454	NAPA, CA
B	03/29/1994 - 11/17/1994	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY

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
11/2025 - Present	INTEGRITY ALLIANCE, LLC.	Mass Transfer	Y	Fort Lauderdale, FL, United States
02/2024 - Present	Lion Street Financial	Registered Representative	Y	Miami, FL, United States
09/2020 - Present	KAUFMAN ROSSIN WEALTH, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	MIAMI, FL, United States
09/2020 - Present	KAUFMAN, ROSSIN & CO.	ADMINISTRATOR	N	MIAMI, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2020 - Present	KR FINANCIAL SERVICES, LLC dba KAUFMAN ROSSIN INSURANCE SERVICES	INSURANCE ADVISOR	N	MIAMI, FL, United States
01/2020 - Present	PIECES OF PEACE, LLC	MANAGING PARTNER	N	MIRAMAR, FL, United States
03/2021 - 12/2023	Innovation Partners, LLC	Registered Representative	Y	Charlotte, NC, United States
11/2017 - 12/2019	JPMORGAN SECURITIES LLC	PRIVATE CLIENT ADVISOR	Y	AVENTURA, FL, United States
08/2016 - 11/2017	SUNTRUST ADVISORY SERVICES	Investment Advisor Representative	Y	Atlanta, GA, United States
12/1997 - 10/2017	SUNTRUST INVESTMENT SERVICES, INC.	ADVISOR	Y	PLANTATION, FL, 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) KAUFMAN, ROSSIN & CO., NON-INVESTMENT RELATED, 3310 MARY STREET, SUITE 501, MIAMI, FL 33133, ADMINISTRATOR. START DATE 09/2020. GENERALLY, 0 HOURS PER MONTH DURING SECURITY TRADING HOURS.
- 2) KR FINANCIAL SERVICES dba KAUFMAN ROSSIN INSURANCE SERVICES. 3310 MARY STREET, SUITE 501, MIAMI, FL 33133, LICENSED INSURANCE AGENT. STATE DATE 09/2020, 15 HOURS PER MONTH DURING SECURITY TRADING HOURS
- 3) MANAGING PARTNER OF PIECES OF PEACE, LLC 3062 SW 189 AVENUE MIRAMAR, FL 33029 BEGINNING IN JANUARY OF 2020. THE NATURE OF THE BUSINESS IS RETAIL ONLINE CLOTHING; NON INVESTMENT-RELATED. APPROXIMATELY 20 HOURS PER MONTH DEVOTED TO THE BUSINESS; NONE OF WHICH OCCUR DURING SECURITIES TRADING HOURS.
- 4) KAUFMAN ROSSIN WEALTH, LLC
 POSITION: Employee NATURE: Kaufman Rossin Wealth provides financial planning, wealth advice, asset management, and retirement planning. INVESTMENT RELATED: Yes NUMBER OF HOURS: 200 SECURITIES TRADING HOURS: 160 START DATE: 09/15/2000
 ADDRESS: 100 SE 3rd Street, Suite 2400, Fort Lauderdale FL 33394, United States
 DESCRIPTION: I work with clients assisting them with creating Financial Plans that offer them the best opportunity to achieve their stated goals. We review and advise on existing portfolios, and create asset allocation models utilizing Stocks, Bonds and Alternative Investments.



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	3
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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SUNTRUST INVESTMENT SERVICES, INC
Allegations:	MISREPRESENTATION IN THE RECOMMENDATION AND PURCHASE OF UNIT INVESTMENT TRUST SHARES IN JUNE 2007.
Product Type:	Unit Investment Trust
Alleged Damages:	\$35,276.30
Alleged Damages Amount Explanation (if amount not exact):	NO AMOUNT SPECIFIED IN THE COMPLAINT. AMOUNT ABOVE REPRESENTS UNREALIZED LOSS INDICATED ON THE CLIENT'S LAST STATEMENT.
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:	11/19/2009
Complaint Pending?	No
Status:	Denied
Status Date:	01/27/2010

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

I DENY THE ALLEGATIONS OF MISREPRESENTATION AND ASSERT THAT I THOROUGHLY EXPLAINED AND DISCUSSED PRODUCT WITH THE CLIENTS.

Disclosure 2 of 3**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

SUNTRUST SECURITIES, INC.

Allegations:

[CUSTOMER] PURCHASED THREE (3) PRODUCTS ON 11/22/2004 - A \$350,000 ALLSTATE PROVIDER FIXED ANNUITY, A \$75,000 INVESTMENTS IN FRANKLIN INCOME FUND B SHARES AND A \$75,000 INVESTMENT IN FIRST ABERDEEN GLOBAL OPPORTUNITY FUND.

[CUSTOMER] ALLEGES THAT THESE THREE PRODUCTS DO NOT MEET HIS FINANCIAL OBJECTIVES.

Product Type:

Annuity(ies) - Fixed

Other Product Type(s):

MUTUAL FUNDS

Alleged Damages:

\$31,000.00

Customer Complaint Information**Date Complaint Received:**

12/23/2004

Complaint Pending?

No

Status:

Settled

Status Date:

01/14/2005

Settlement Amount:

\$28,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

WITHIN 60 DAYS OF HIS ORIGINAL INVESTMENT PURCHASE, [CUSTOMER] WAS SERIOUSLY INJURED IN A TRAFFIC ACCIDENT AND DUE TO THAT MITIGATING CIRCUMSTANCE THE FREE LOOK PERIOD FOR THE ANNUITY WAS EXTENDED BY THE FIRM AND [CUSTOMER] SURRENDERED IT WITHOUT ANY COST TO HIMSELF.

Disclosure 3 of 3**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

SUNTRUST SECURITIES, INC.

Allegations:

CUSTOMER ALLEGES MUTUAL FUND PURCHASES IN 2000 WERE UNAUTHORIZED AND UNSUITABLE.

Product Type:

Mutual Fund(s)

Alleged Damages:

\$22,990.72



Customer Complaint Information

Date Complaint Received: 10/25/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 11/03/2004

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

CUSTOMER REQUESTED NASD MEDIATION. NO PRIOR WRITTEN COMPLAINT HAS BEEN FILED.



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: JP MORGAN SECURITIES LLC
Termination Type: Voluntary Resignation
Termination Date: 12/18/2019
Allegations: REGISTERED REP VOLUNTARILY RESIGNED AFTER ALLEGATIONS THAT HE RE-USED SIGNATURE PAGES FROM PREVIOUSLY SIGNED ACCOUNT TRANSFER FORMS WHEN TRANSFERRING MULTIPLE EXTERNAL ACCOUNTS TO A FIRM ACCOUNT, IN VIOLATION OF FIRM POLICY.
Product Type: Mutual Fund

Reporting Source: Individual
Firm Name: JP MORGAN SECURITIES LLC
Termination Type: Voluntary Resignation
Termination Date: 12/18/2019
Allegations: REGISTERED REP VOLUNTARILY RESIGNED AFTER ALLEGATIONS THAT HE RE-USED SIGNATURE PAGES FROM PREVIOUSLY SIGNED ACCOUNT TRANSFER FORMS WHEN TRANSFERRING MULTIPLE EXTERNAL ACCOUNTS TO A FIRM ACCOUNT, IN VIOLATION OF FIRM POLICY.
Product Type: Mutual Fund



End of Report

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