



IAPD Report

JOSEPH JOHN BRUNO

CRD# 2379064

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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

JOSEPH JOHN BRUNO (CRD# 2379064)

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 **09/02/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INTEGRITY ALLIANCE, LLC	CRD# 139627	07/01/2020
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	07/01/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	NATIONWIDE SECURITIES, LLC	11173	NEWTOWN SQUARE, PA	06/14/2018 - 07/01/2020
B	NATIONWIDE SECURITIES, LLC	11173	NEWTOWN SQUARE, PA	08/01/2008 - 07/01/2020
IA	NATIONWIDE SECURITIES, LLC	11173	NEWTOWN SQUARE, PA	08/01/2008 - 12/31/2017

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
Termination	1



Report Summary



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 9 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	07/01/2020
B FINRA	Invest. Co and Variable Contracts	Approved	07/01/2020
B California	Agent	Approved	02/25/2021
B Delaware	Agent	Approved	07/08/2020
B Florida	Agent	Approved	09/03/2025
B Maryland	Agent	Approved	07/01/2020
B New Jersey	Agent	Approved	07/01/2020
B New York	Agent	Approved	07/01/2020
B Ohio	Agent	Approved	11/03/2021
B Pennsylvania	Agent	Approved	07/01/2020
IA Pennsylvania	Investment Adviser Representative	Approved	07/01/2020
B Tennessee	Agent	Approved	11/10/2021

Branch Office Locations



Qualifications

INTEGRITY ALLIANCE, LLC

90 S Newtown Street Rd
Suite 3
Newtown Square, PA 19073



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	02/12/2001
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/27/1993

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	02/02/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/06/1993

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	06/14/2018 - 07/01/2020	NATIONWIDE SECURITIES, LLC	CRD# 11173	NEWTOWN SQUARE, P.
B	08/01/2008 - 07/01/2020	NATIONWIDE SECURITIES, LLC	CRD# 11173	NEWTOWN SQUARE, P.
IA	08/01/2008 - 12/31/2017	NATIONWIDE SECURITIES, LLC	CRD# 11173	NEWTOWN SQUARE, P.
IA	06/12/2002 - 08/01/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	RADNOR, PA
B	10/27/1995 - 08/01/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	RADNOR, PA
B	08/02/1993 - 10/09/1995	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
07/2020 - Present	Integrity Alliance, LLC	Registered Rep and IAR	Y	Newtown Square, PA, United States
08/2008 - 07/2020	NATIONWIDE	AGENT	N	NEWTOWN SQ, PA, United States
08/2008 - 07/2020	NATIONWIDE SECURITIES, LLC	REGISTERED REP	Y	NEWTOWN SQUARE, PA, 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.

Bruno Financial Services LLC; Securities related; 116 Stoney Brook Blvd, Newtown Square, PA 19073; DBA for Securities and insurance; Owner; Started 7/1/2020; 40 hours per month, 40 hours during trading; Sales and service of investments and insurance products

Fixed life insurance; Not securities related; 116 Stoney Brook Blvd, Newtown Square, PA 19073; Selling fixed and life insurance; Insurance agent; Started 1/1/1993; 120 hour per month, 120 during trading; Sales and service of fixed 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
Termination	1

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: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/08/1996

Docket/Case Number: C9A960049

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 05/08/1997

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

**Sanction Details:****Regulator Statement**

COMPLAINT NO. C9A960049 FILED NOVEMBER 8, 1996 BY DISTRICT NO. 9 AGAINST JOSEPH J. BRUNO ALLEGING VIOLATIONS OF NASD RULE 2110 IN THAT RESPONDENT BRUNO AFFIXED THE PURPORTED SIGNATURE OF A PUBLIC CUSTOMER TO AN AMENDMENT TO AN APPLICATION FOR A POLICY OF VARIABLE LIFE INSURANCE, WITHOUT THE PRIOR AUTHORIZATION OF THE CUSTOMER AND THEREAFTER SUBMITTED SUCH AMENDMENT TO HIS MEMBER FIRM.

ON MAY 8, 1997, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT BRUNO WAS ACCEPTED; THEREFORE, RESPONDENT BRUNO IS CENSURED AND FINED \$2,500.

\$2,500.00 PAID ON 7/2/97, INVOICE #97-9A-382

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/24/1996

Docket/Case Number: C9A960049

Employing firm when activity occurred which led to the regulatory action: PRUDENTIAL/PRUCO SECURITIES

Product Type: Annuity(ies) - Variable

Other Product Type(s): INSURANCE

Allegations: THE SIGNING OF AN AMENDMENT TO THE APPLICATION, PERMITTED TO RESIGN. NASD DISTRICT BUSINESS CONDUCT COMMITTEE DISTRICT 9 REVIEW ALLEGATIONS. "THE SIGNING OF AN AMENDMENT TO THE APPLICATION" PERMITTED TO RESIGN

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 05/08/1997

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: NASD DISTRICT BUSINESS CONDUCT COMMITTEE DISTRICT 9 ACCEPTED AN OFFER OF SETTLEMENT. THE DBCC CENSURED AND FINED MR. BRUNO IN THE AMOUNT OF \$2,500.00

Broker Statement NOT PROVIDED.



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
Court Details:	U.S. SECRET SERVICE, MORRISTOWN, NJ AGENCY CASE #106C055184
Charge Date:	04/01/1976
Charge Details:	PASSING COUNTERFEIT U.S. CURRENCY. CONSPIRACY
Felony?	No
Current Status:	Final
Status Date:	02/10/1977
Disposition Details:	ALL CHARGES WERE DISMISSED AFTER 10 MONTHS.
Broker Statement	I WAS AT THE MALL WITH A GROUP OF PEOPLE. WE WERE ARRESTED FOR PASSING COUNTERFEIT U.S. CURRENCY, BUT ALL CHARGES WERE DISMISSED AND I WAS TOLD THERE WERE NO CHARGES AGAINST ME AND NO RECORDS ON ME. FOR THIS REASON, I ANSWERED NO TO #22B. ALL CHARGES WERE DISMISSED AFTER 10 MONTHS. I WAS AT THE MALL WITH A GROUP OF PEOPLE. WE WERE ALL ARRESTED FOR PASSING COUNTERFEIT U.S. CURRENCY (DRP#34089)



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: Individual

Firm Name: THE PRUDENTIAL INSURANCE COMPANY OF AMERICA

Termination Type: Permitted to Resign

Termination Date: 08/15/1995

Allegations: NOT PROVIDED
THE SIGNING OF AN AMENDMENT TO THE APPLICATION. PERMITTED TO RESIGN.

Product Type:

Other Product Types:

Broker Statement

NONE TO DATE
TO THE BEST OF MY KNOWLEDGE THIS IS A COMPLAINT FROM PRUDENTIAL & NOT A COMPLAINT BY MR. GAZZARA. I FIRST MET WITH MR. GAZZARD IN APRIL OR MAY 1995 AND SOLD HIM A 20,000 VARIABLE LIFE POLICY. THE UNDERWRITER HAD REQUESTED MORE INFORMATION FOR GAZZARD BECAUSE HE WAS ASOUBLA K7_ DRIVER. AFTER ALL THE INFO WAS RECEIVED, A NOTICE CAME DOWN THAT THE POLICY WAS RATED BY \$1.04 PER MONTH. BY THIS TIME IT WAS 8/95 & I CALLED THE INSURED & EXPLAINED THE INCREASE TO HIM. GAZZARA ASKED IF THIS WOULD EFFECT THE POLICY. I EXPLAINED ITS EFFECT & HE UNDERSTOOD THAT THE EFFECT WAS LITTLE & EVERYTHING WAS OKAY.
AT THE TIME I TRIED TO ARRANGE A TIME TO DELIVER THE POLICY. GAZZARA INFORMED ME HE WAS GOING ON A WK VACATION & SEE HIM AFTER THAT. I TOLD HIM I'D TAKE CARE OF THE PAPER WORK & GO OVER EVERYTHING WITH HIM WHEN WE GET TOGETHER IN AFTER WEEK.
HE SAID FINE, I THEN SIGNED THE FORMS ON HIS BEHALF & SO OMITTED IT. I ASSUMED I HAD HIS PERMISSION TO SIGN BECAUSE HE WAS UNAVAILABLE FOR A FEW WEEK & I WENT OVER EVERYTHING WITH HIM.



End of Report

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