IAPD Report

PETER GEORGE PECCI

CRD# 2435388

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

PETER GEORGE PECCI (CRD# 2435388)

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 **03/31/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	12/12/2017
IA	INTEGRITY ALLIANCE, LLC	CRD# 139627	01/31/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	ALLSTATE FINANCIAL ADVISORS, LLC	109524	Plantation, FL	06/30/2016 - 10/19/2017
B	ALLSTATE FINANCIAL SERVICES, LLC	18272	Coconut Creek, FL	05/13/2016 - 10/17/2017
IA	FINANCIAL WEST GROUP	16668	FORT LAUDERDALE, FL	06/02/2015 - 05/06/2016

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
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 **17** 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	12/12/2017
B	FINRA	General Securities Representative	Approved	12/12/2017
B	FINRA	Invest. Co and Variable Contracts	Approved	12/12/2017
B	FINRA	Municipal Securities Principal	Approved	12/12/2017
B	FINRA	Municipal Securities Representative	Approved	12/12/2017
B	Alabama	Agent	Approved	07/17/2020
B	Arizona	Agent	Approved	08/05/2020
B	Arkansas	Agent	Approved	04/01/2019
B	Colorado	Agent	Approved	04/01/2025
B	Connecticut	Agent	Approved	10/10/2023
B	Florida	Agent	Approved	01/31/2018
IA	Florida	Investment Adviser Representative	Approved	01/31/2018
B	Georgia	Agent	Approved	11/12/2020

Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	09/14/2022
B	Indiana	Agent	Approved	06/03/2020
B	Kentucky	Agent	Approved	07/21/2020
B	Maryland	Agent	Approved	07/17/2020
B	New York	Agent	Approved	08/20/2020
B	Oklahoma	Agent	Approved	07/17/2020
B	Pennsylvania	Agent	Approved	07/17/2020
B	Texas	Agent	Approved	07/22/2020
B	Washington	Agent	Approved	09/22/2020
B	West Virginia	Agent	Approved	07/27/2020

Branch Office Locations

INTEGRITY ALLIANCE, LLC
1398 SW 160th Av Ste 503
Weston, FL 33326

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	05/26/2016
B	General Securities Principal Examination (S24)	Series 24	07/29/2005

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/01/1996
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/01/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/06/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/01/1995

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
IA	06/30/2016 - 10/19/2017	ALLSTATE FINANCIAL ADVISORS, LLC	CRD# 109524	Plantation, FL
B	05/13/2016 - 10/17/2017	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	Coconut Creek, FL
IA	06/02/2015 - 05/06/2016	FINANCIAL WEST GROUP	CRD# 16668	FORT LAUDERDALE, FL
B	05/19/2015 - 05/06/2016	FINANCIAL WEST GROUP	CRD# 16668	FORT LAUDERDALE, FL
IA	01/26/2015 - 05/19/2015	VERTICAL CAPITAL ASSET MANAGEMENT, LLC	CRD# 158382	WESTON, FL
B	01/22/2015 - 05/19/2015	VERTICAL CAPITAL SECURITIES, LLC	CRD# 154697	IRVINE, CA
IA	10/22/2010 - 12/05/2014	KOVACK ADVISORS, INC.	CRD# 140808	FT. LAUDERDALE, FL
B	10/06/2010 - 12/05/2014	KOVACK SECURITIES INC.	CRD# 44848	FORT LAUDERDALE, FL
IA	05/20/2008 - 07/30/2010	INVESTACORP ADVISORY SERVICES INC	CRD# 109011	MIAMI LAKES, FL
B	02/12/2007 - 07/29/2010	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
IA	06/11/2003 - 01/24/2007	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	FORT LAUDERDALE, FL
B	06/06/2003 - 01/24/2007	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	FORT LAUDERDALE, FL
B	03/06/2002 - 06/19/2003	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
IA	03/06/2002 - 06/19/2003	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	FT LAUDERDALE, FL
B	03/16/1999 - 02/01/2002	TEMPLETON/FRANKLIN INVESTMENT SERVICES,INC.	CRD# 27884	SAN MATEO, CA
B	03/02/1994 - 03/17/1999	FRANKLIN/TEMPLETON DISTRIBUTORS, INC.	CRD# 332	SAN MATEO, CA

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

Registration Dates	Firm Name	ID#	Branch Location

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
12/2017 - Present	Integrity Alliance, LLC	Registered Representative/Investment Advisor Representative	Y	Weston, FL, United States
05/2016 - 10/2017	Allstate Insurance Company	Agent	N	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) Rotary International; Not Investment Related; One Rotary Center, 1560 Sherman Ave, Evanston, IL 60201-3698; Charity/Philanthropic; District Leadership; 12/31/2023; 5 hours a month; 0 hours during security hours; Meet with individual clubs, understand club needs, and connect those needs to a resource at the Rotary district level.
2) Premier Investment Advisors Group; Investment Related; 16415 Sapphire PL, Weston, FL 33331; DBA for Securities/RIA; President - Registered Principal; 12/01/2018; 200 hours per month, 120 hours during security hours; Wealth Management services and OSJ.
3) Voluntary Benefits - Colonial Life; Not investment Related; 16415 Sapphire PL, Weston, FL 33331; District General Agent; Recruit agents; 12/01/2017; 40 hours per month; 40 hours during security hours; offer voluntary benefits.
4) YMCA Board of Directors; Not Investment Related; 16415 Sapphire PL, Weston, FL 33331; Board Member; 01/01/2013; 3 hour per month; 0 hours during security hours; South Florida Association

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
Termination	2

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: Firm

Firm Name: Allstate Insurance Company

Termination Type: Discharged

Termination Date: 10/10/2017

Allegations: Termination by parent property and casualty insurance company after allegations of sales leader instructing agents to add life insurance quotes to auto insurance quotes without the customers' informed consent. Not securities related

Product Type: Insurance

Reporting Source: Individual

Firm Name: Allstate Insurance Company

Termination Type: Discharged

Termination Date: 10/10/2017

Allegations: Termination by parent property and casualty insurance company after allegations of sales leader instructing agents to add life insurance quotes to auto insurance quotes without the customers' informed consent. Not securities related

Product Type: Insurance

Disclosure 2 of 2

Reporting Source: Firm

Firm Name: Allstate Insurance Company

Termination Type: Discharged

Termination Date:	10/10/2017
Allegations:	Termination by parent property and casualty insurance company after allegations of sales leader instructing agents to add life insurance quotes to auto insurance quotes without the customers' informed consent. Not securities related.
Product Type:	Insurance

Reporting Source:	Individual
Firm Name:	ALLSTATE FINANCIAL SERVICES, LLC
Termination Type:	Discharged
Termination Date:	10/10/2017
Allegations:	Termination by parent property and casualty insurance company after allegations of sales leader instructing agents to add life insurance quotes to auto insurance quotes without the customers' informed consent. Not securities related.
Product Type:	No Product
Broker Statement	I never instructed anyone to add a life insurance quote to an auto quote without the customers' informed consent. I was discharged based on allegations. I was not given the opportunity to address the allegations or face my accuser. I denied the allegations repeatedly, and the company never provided any evidence to support the allegation. Not Securities Related.

End of Report

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