IAPD Report

EDWARD CARL ITTNER JR

CRD# 255677

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

EDWARD CARL ITTNER JR (CRD# 255677)

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 **11/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INTEGRITY ALLIANCE, LLC	CRD# 139627	09/01/2017
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	09/01/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	NEXT FINANCIAL GROUP, INC.	46214	SCOTTSDALE, AZ	10/12/2010 - 09/05/2017
B	NEXT FINANCIAL GROUP, INC.	46214	SCOTTSDALE, AZ	10/06/2010 - 09/05/2017
B	SECURITIES AMERICA, INC.	10205	SCOTTSDALE, AZ	08/11/2010 - 10/06/2010

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
Criminal	1
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 **4** 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	09/01/2017
B	Arizona	Agent	Approved	09/01/2017
IA	Arizona	Investment Adviser Representative	Approved	09/12/2017
B	California	Agent	Approved	09/01/2017
IA	California	Investment Adviser Representative	Approved	09/06/2017
B	Hawaii	Agent	Approved	09/25/2017
IA	Hawaii	Investment Adviser Representative	Approved	09/25/2017
B	Texas	Agent	Approved	09/01/2017
IA	Texas	Investment Adviser Representative	Approved	09/01/2017

Branch Office Locations

INTEGRITY ALLIANCE, LLC
Flower Mound, TX

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
B	Direct Participation Programs Principal Examination (S39)	Series 39	01/05/1983

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Registered Representative Examination (S1)	Series 1	08/21/1972

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/19/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/19/1979

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	10/12/2010 - 09/05/2017	NEXT FINANCIAL GROUP, INC.	CRD# 46214	SCOTTSDALE, AZ
B	10/06/2010 - 09/05/2017	NEXT FINANCIAL GROUP, INC.	CRD# 46214	SCOTTSDALE, AZ
B	08/11/2010 - 10/06/2010	SECURITIES AMERICA, INC.	CRD# 10205	SCOTTSDALE, AZ
IA	12/22/2009 - 10/05/2010	VERUS CAPITAL PARTNERS, LLC	CRD# 151568	SCOTTSDALE, AZ
IA	01/22/2008 - 08/20/2010	NEXT FINANCIAL GROUP, INC.	CRD# 46214	SCOTTSDALE, AZ
B	12/14/2007 - 08/20/2010	NEXT FINANCIAL GROUP, INC.	CRD# 46214	SCOTTSDALE, AZ
IA	06/03/2002 - 12/31/2009	ASHLAND MANAGEMENT INCORPORATED	CRD# 108329	NEW YORK, NY
IA	02/07/2003 - 12/07/2007	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SCOTTSDALE, AZ
B	02/06/2003 - 12/07/2007	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SCOTTSDALE, AZ
B	05/16/2001 - 02/11/2003	STEPHEN A. KOHN & ASSOCIATES, LTD.	CRD# 41067	LUTZ, FL
B	06/17/1998 - 08/25/1999	NORTHSTAR DISTRIBUTORS, INC.	CRD# 20863	STAMFORD, CT
B	06/27/1996 - 10/29/1997	WORLDWIDE VALUE DISTRIBUTORS, LLC	CRD# 37472	NEW YORK, NY
B	10/11/1990 - 03/02/1995	PIMCO ADVISORS DISTRIBUTION COMPANY	CRD# 25567	NEW YORK, NY
B	08/29/1972 - 06/20/1990	METRIC CAPITAL CORPORATION	CRD# 6075	MORRISTOWN, NJ

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
09/2017 - Present	Brokers International Financial Services, LLC	Registered Representative/Investment Advisor Representative	Y	Flower Mound, TX, United States
10/2010 - 09/2017	NEXT FINANCIAL GROUP	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, 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) FUNDAMENTAL VALUE ANALYTICS
POSITION: Owner NATURE: DBA INVESTMENT RELATED: Yes NUMBER OF HOURS: 300 SECURITIES TRADING HOURS: 300 START DATE: 10/06/2010
ADDRESS: 1700 SOUTHWICKE DRIVE, FLOWER MOUND, TX 75022
DESCRIPTION: Research stocks and bonds and macro-economics in order to advise clients.

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
Criminal	1
Termination	1

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:	Circuit Court In and For Pinellas County, FL
Location of Court:	Pinellas County FL
Docket/Case #:	CRC88-614CFANO-D
Charge Date:	01/14/1988
Charge(s) 1 of 1	
Formal Charge(s)/Description:	I WAS CHARGED WITH OBTAINING OF FL DRIVERS LICENSE BY FRAUD - A FELONY IN THAT STATE. I PLEAD GUILTY, ADJUDICATION OF GUILT WAS WITHHELD AND I WAS NOT CONVICTED. A $240 COURT COST PAID, AND RECORDS WERE SEALED AND DESTROYED.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Guilty
Disposition of charge:	
Current Status:	Final
Status Date:	05/02/1988
Disposition Date:	03/07/1988
Sentence/Penalty:	3 months probation, paid $240 court costs, formal adjudication of guilt withheld which means Edward Ittner was not convicted of this offense. By court order records were sealed.

Broker Statement	WHEN MAKING AN APPLICATION FOR A FLORIDA DRIVERS LICENSE I WITHHELD INFORMATION ABOUT HAVING A VALID TEXAS DRIVERS LICENSE. I WAS CHARGED WITH OBTAINING OF FL DRIVERS LICENSE BY FRAUD - A FELONY IN THAT STATE. I PLEAD GUILTY, ADJUDICATION OF GUILT WAS WITHHELD AND I WAS NOT CONVICTED. A $240 COURT COST PAID, AND RECORDS WERE SEALED AND DESTROYED.

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:	MERRILL LYNCH
Termination Type:	Discharged
Termination Date:	11/19/2007
Allegations:	ACCUSED VIOLATION OF MERRILL LYNCH INTERNAL OPERATING POLICY
Product Type:	No Product
Broker Statement	ASSISTED CLIENT IN EXECUTION OF REAL ESTATE SALE. PRICE AND TERMS WERE NEGOTIATED BETWEEN CLIENT'S ATTY. AND BUYER. I ACTED AS INTERMEDIARY AND RECEIVED NO COMPENSATION.

End of Report

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