



IAPD Report

MARVIN LEE THOMSON JR

CRD# 2647126

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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

MARVIN LEE THOMSON JR (CRD# 2647126)

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 **04/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	02/18/2021
IA	INTEGRITY ALLIANCE, LLC	CRD# 139627	02/19/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	DES MOINES, IA	02/14/2018 - 03/19/2020
IA	LPL FINANCIAL LLC	6413	DES MOINES, IA	02/14/2018 - 03/19/2020
IA	INVEST FINANCIAL CORPORATION	12984	BURLINGTON, IA	12/07/2004 - 02/20/2018

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	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 **8** 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	02/18/2021
B	FINRA	General Securities Representative	Approved	02/18/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	02/18/2021
B	FINRA	Municipal Fund	Approved	02/18/2021
B	FINRA	Municipal Securities Representative	Approved	02/18/2021
B	Florida	Agent	Approved	11/17/2021
B	Illinois	Agent	Approved	05/05/2021
B	Iowa	Agent	Approved	02/19/2021
IA	Iowa	Investment Adviser Representative	Approved	02/19/2021
B	Kansas	Agent	Approved	03/08/2021
B	Minnesota	Agent	Approved	07/17/2023
B	Missouri	Agent	Approved	02/19/2021
B	Oregon	Agent	Approved	06/29/2021



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	03/29/2022

Branch Office Locations

INTEGRITY ALLIANCE, LLC
2723 Mt Pleasant Street STE B
Burlington, IA 52601



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
Municipal Fund Securities Principal Examination (S51)	Series 51	08/30/2005
General Securities Principal Examination (S24)	Series 24	04/20/2004

General Industry/Product Exams

Exam	Category	Date
Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	03/18/2003
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/28/1995

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	11/23/2004
Uniform Securities Agent State Law Examination (S63)	Series 63	09/21/1995

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor



representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	02/14/2018 - 03/19/2020	LPL FINANCIAL LLC	CRD# 6413	DES MOINES, IA
IA	02/14/2018 - 03/19/2020	LPL FINANCIAL LLC	CRD# 6413	DES MOINES, IA
IA	12/07/2004 - 02/20/2018	INVEST FINANCIAL CORPORATION	CRD# 12984	BURLINGTON, IA
B	08/31/2004 - 02/14/2018	INVEST FINANCIAL CORPORATION	CRD# 12984	BURLINGTON, IA
B	11/21/2003 - 09/03/2004	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
B	01/03/2002 - 11/18/2003	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA
B	11/29/1995 - 12/31/2001	HORACE MANN INVESTORS INC	CRD# 11643	SPRINGFIELD, IL

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
02/2021 - Present	Integrity Alliance, LLC	Registered Rep and IAR	Y	Burlington, IA, United States
01/2011 - Present	Self Employed	Farmer	N	Burlington, IA, United States
02/2018 - 02/2020	LPL FINANCIAL LLC	Mass Transfer	Y	MEDIAPOLIS, IA, United States
08/2004 - 02/2020	Two Rivers Bank	Bank Employee	Y	Burlington, IA, United States
08/2004 - 02/2018	INVEST Financial Corp.	REGISTERED REPRESENTATIVE	Y	Tampa, 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) Thomson Farms LLC; Not securities related; 8697 145th Street, Burlington, IA 52601; Family Farm; Member/Manager;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

01/01/2011; 10 hours per month, 0 during security hours; Raise crops and cattle for sale.

2) GREAT RIVER INVESTMENTS & TAX SERVICES, LLC

POSITION: Owner NATURE: Business focuses primarily on investment management and financial planning. Registered Representative, Marvin Thomson has recently earned his enrolled agent IRS designation and the firm has future plans to add tax prep services to the firm. INVESTMENT RELATED: Yes NUMBER OF HOURS: 180 SECURITIES TRADING HOURS: 180 START DATE: 12/10/2020

ADDRESS: 2723 Mt Pleasant Street, Ste B, Burlington IA 52601, United States

DESCRIPTION: Meet with individual clients to review accounts and financial plans. Manage monies through a mixture of commission based/Fee based planning services.

3) GREAT RIVER INVESTMENTS & TAX SERVICES, LLC

POSITION: Owner NATURE: Submitting a secondary OBA for tax preparation services that will potentially become part of the business model of the business. Tax preparation services would be for individual tax payers and no corporate clients

INVESTMENT RELATED: Yes NUMBER OF HOURS: 180 SECURITIES TRADING HOURS: 180 START DATE: 12/10/2020

ADDRESS: 2723 Mt Pleasant Street, Ste B, Burlington IA 52601, United States

DESCRIPTION: Great River Investments & Tax Services is an investment management firm working with clients on financial planning and money management. Services are performed on a fee based or commission basis.



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	1

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:	LPL Financial LLC
Termination Type:	Discharged
Termination Date:	02/19/2020
Allegations:	Knowingly submitted inaccurate staff timecards causing unearned monies to be paid.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	LPL
Termination Type:	Discharged
Termination Date:	02/19/2020
Allegations:	Terminated by employing bank for knowingly submitting inaccurate staff timecards causing unearned monies to be paid.
Product Type:	No Product



End of Report

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