



## IAPD Report

# BENJAMIN THOMAS NEWHOUSE

CRD# 3105894

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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

### BENJAMIN THOMAS NEWHOUSE (CRD# 3105894)

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 **12/23/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	DFPG INVESTMENTS, LLC	CRD# 155576	07/10/2015
<b>IA</b>	INTEGRATED ADVISORS NETWORK LLC	CRD# 171991	08/12/2015
<b>IA</b>	DIVERSIFY WEALTH MANAGEMENT, LLC	CRD# 329878	10/01/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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>IA</b>	FIRST ALLIED ADVISORY SERVICES, INC.	137888	SPRINGFIELD, MO	07/02/2012 - 07/16/2015
<b>B</b>	FIRST ALLIED SECURITIES, INC.	32444	DURANGO, CO	05/26/2010 - 07/13/2015
<b>IA</b>	FIRST ALLIED SECURITIES, INC.	32444	DURANGO, CO	05/26/2010 - 07/02/2012

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	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 **18** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 3

Firm Name: **DIVERSIFY WEALTH MANAGEMENT, LLC**  
Main Address: 9017 S RIVERSIDE DR SUITE 210  
SANDY, UT 84070  
Firm ID#: 329878

	Regulator	Registration	Status	Date
	Colorado	Investment Adviser Representative	Approved	10/01/2025
	Missouri	Investment Adviser Representative	Approved	10/30/2025
	Oklahoma	Investment Adviser Representative	Approved	10/01/2025
	Texas	Investment Adviser Representative	Approved	10/01/2025

### Branch Office Locations

**DIVERSIFY WEALTH MANAGEMENT, LLC**  
3812 S FREMONT AVE  
Springfield, MO 65804

### Employment 2 of 3

Firm Name: **DFPG INVESTMENTS, LLC**  
Main Address: 9017 S RIVERSIDE DRIVE  
SUITE 210  
SANDY, UT 84070  
Firm ID#: 155576

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	07/10/2015
	Alabama	Agent	Approved	07/10/2015
	Arizona	Agent	Approved	03/06/2020



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Arkansas	Agent	Approved	07/10/2015
<b>B</b> California	Agent	Approved	09/07/2021
<b>B</b> Colorado	Agent	Approved	07/10/2015
<b>B</b> Florida	Agent	Approved	07/10/2015
<b>B</b> Georgia	Agent	Approved	01/08/2021
<b>B</b> Iowa	Agent	Approved	09/04/2022
<b>B</b> Kansas	Agent	Approved	07/10/2015
<b>B</b> Louisiana	Agent	Approved	09/24/2021
<b>B</b> Michigan	Agent	Approved	09/06/2017
<b>B</b> Missouri	Agent	Approved	07/10/2015
<b>B</b> Nevada	Agent	Approved	11/01/2016
<b>B</b> New Jersey	Agent	Approved	01/02/2020
<b>B</b> Oklahoma	Agent	Approved	07/15/2015
<b>B</b> South Carolina	Agent	Approved	03/28/2017
<b>B</b> Texas	Agent	Approved	07/10/2015

### Branch Office Locations

**DFPG INVESTMENTS, LLC**  
3812 S FREMONT AVE  
SPRINGFIELD, MO 65804

**DFPG INVESTMENTS, LLC**  
3812 S Fremont Ave  
Springfield, MO 65804

### Employment 3 of 3

Firm Name: **INTEGRATED ADVISORS NETWORK LLC**



## Qualifications

Main Address: 4514 COLE AVE  
SUITE 600  
DALLAS, TX 75205

Firm ID#: 171991

	Regulator	Registration	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	04/10/2017
IA	Colorado	Investment Adviser Representative	Approved	04/10/2017
IA	Maine	Investment Adviser Representative	Approved	05/11/2017
IA	Missouri	Investment Adviser Representative	Approved	06/18/2018
IA	Oklahoma	Investment Adviser Representative	Approved	04/10/2017
IA	South Carolina	Investment Adviser Representative	Approved	04/10/2017
IA	Texas	Investment Adviser Representative	Approved	04/10/2017

## Branch Office Locations

**INTEGRATED ADVISORS NETWORK LLC**  
3812 S FREMONT AVE  
SPRINGFIELD, MO 65804



## 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, 2 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
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	03/07/2000

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	03/29/2002
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	01/19/2000



### PROFESSIONAL DESIGNATIONS

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

#### Personal Financial Specialist

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
IA	07/02/2012 - 07/16/2015	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	SPRINGFIELD, MO
B	05/26/2010 - 07/13/2015	FIRST ALLIED SECURITIES, INC.	CRD# 32444	DURANGO, CO
IA	05/26/2010 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	DURANGO, CO
IA	11/06/2007 - 05/26/2010	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SPRINGFIELD, MO
B	10/25/2007 - 05/26/2010	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SPRINGFIELD, MO
IA	11/01/2007 - 12/18/2009	VINEYARD ASSET MANAGEMENT, LLC	CRD# 145246	SPRINGFIELD, MO
IA	05/12/2004 - 11/06/2007	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MO
B	05/05/2004 - 11/06/2007	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MO
IA	09/16/2002 - 05/11/2004	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SPRINGFIELD, MO
B	03/08/2000 - 05/11/2004	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ

### 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
09/2025 - Present	Diversify Wealth Management, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SANDY, UT, United States
07/2015 - Present	DFPG INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	SOUTH JORDAN, UT, United States
07/2015 - Present	INTEGRATED ADVISORS NETWORK	INVESTMENT ADVISOR REPRESENTATIVE	Y	Dallas, TX, United States





## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2007 - Present	VINEYARD ASSET MANAGEMENT, LLC	PRESIDENT	N	SPRINGFIELD, MO, 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. Shock Hill Home Owners Assoc; investment-related: No; Breckenridge, CO 80424; Board Member/Officer; serve on HOA board to administer subdivision functions and enforce covenant provisions applying to homes located therein. 1% hours.
2. Vineyard Global Advisors LLC; Investment Related; Springfield, MO; Consultation; Chief Financial Officer & Tax/Legal Counsel; 11/2016; 15% during business hours; Provides legal advice to owner, book-keeping, tax reports. Not involved in any type of securities selection or portfolio management process for this entity, nor any type of communication with securities clients in carrying out duties.
4. Benjamin Newhouse - Sole Proprietor; Non-Investment Related; Springfield, MO; Insurance; Sole Proprietor; 01/2008; 2% during business hours; Solicitation and sales of traditional insurance products, including placement of premium financed insurance policies.
5. Newhouse Professional Consulting, LLC; Non-Investment Related; Springfield, MO; Professional Services; Managing member of LLC; 01/2014; 5% during business hours; Consulting services utilizing my active licenses to practice law and CPA related functions that are provided to select clientele
6. Vineyard Wealth Management, LLC; Investment Related; Springfield, MO; Holding Company; Managing Member; 01/2008; 100% during business hours; Holding company established to receive revenues produced from providing financial services rendered.
7. CAMOCO Holding, LLC; Investment Related; Springfield, MO; Holding company; Chief Financial Officer & Tax / Legal Counsel; 12/2017; 10% during business hours; Serve as the Chief Financial Officer and Tax/Legal Counsel for this entity. I will not have any role or participate in any way in any securities selection or portfolio management that is conducted by any affiliate of this entity.
9. Vineyard Capital Partners, LLC; Investment Related; Springfield, MO; Consulting; Accountant & Legal Counsel; 11/2016; 2% during business hours; Accounting, bookkeeping, legal counsel. Activity within this OBA does not involve any duties pertaining to any type of securities selection or portfolio management, activity does not involve having any interaction or communication with any securities client.
10. Vineyard Asset Management, LLC; Investment Related; Springfield, MO; LLC; CEO; 1/2008; 85% during business hours; CEO for this entity conducting all broker-dealer or outside registered investment advisory operations in the servicing and advising of client securities accounts.
11. Mission University; Non-Investment Related; Springfield, MO; Education; Trustee; 11/2019; 4% during business hours; Serving as member of this college's Board of Trustees. Evaluate performance of executive officers of the college, approve financial & strategic plan for the college, approve annual budget, initiate directives of executive officers to fulfill.



## 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	2

### 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 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	MML INVESTORS SERVICES INC.
<b>Allegations:</b>	DAMAGES UNDETERMINED. THE CLIENT ALLEGES THAT THE CONSTANT MISINFORMATION SHE RECEIVED ABOUT HER ACCOUNTS HAS CAUSED HER SUBSTANTIAL MONETARY DAMAGE AND HAS CAUSED HER A MASSIVE AMOUNT OF WORK AND TROUBLE: ESPECIALLY WITH THE IRS.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	NO SPECIFIC CLAIM FOR DAMAGES.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/14/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	07/14/2009

**Settlement Amount:****Individual Contribution Amount:**  
.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MML INVESTORS SERVICES, INC.

**Allegations:** CUSTOMER ALLEGES SHE WAS MISINFORMED ABOUT THE MANNER IN WHICH CERTAIN INVESTMENT PRODUCTS RECOMMENDED TO HER (IN OCTOBER, 2004) FUNCTION AND THE MANNER IN WHICH THEY ARE TAXED FOR FEDERAL INCOME TAX PURPOSES. CUSTOMER ALSO INSINUATES THAT HER TAX REPORTING PROBLEMS WITH THE IRS WERE THE RESULT OF HER PERCEIVED MISINFORMATION, RATHER THAN BEING A RESULT OF THE TAX REPORTING FROM THE PARTICULAR INVESTMENT COMPANIES UTILIZED. CUSTOMER DOES NOT ALLEGE ANY SPECIFIC COMPENSATORY DAMAGE AMOUNT IN HER COMPLAINT.

**Product Type:** Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** NO SPECIFIC CLAIMS FOR DAMAGES

**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:** 10/14/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 07/14/2009

**Settlement Amount:****Individual Contribution Amount:**

**Broker Statement** THIS COMPLAINT APPEARS TO HAVE BEEN FILED IN ERROR BY MML, SINCE NO SPECIFIC CLAIM FOR DAMAGES WAS MADE.

### Disclosure 2 of 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** STATE FINANCIAL, INC.

**Allegations:** FAILURE TO PERFORM THIRD PARTY ADMINISTRATIVE DUTIES.

**Product Type:** No Product



**Alleged Damages:** \$98,528.23

**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:** 06/29/2005

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 10/29/2010

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement**

COMPLAINANT FAILED TO ENGAGE TPA FIRM, AS DIRECTED BY ITS OWN  
BOARDS' RESOLUTION DATED 1/25/2001. COMPLAINANT INCORRECTLY  
IDENTIFIED MR. NEWHOUSE AS THE TPA RESPONSIBLE FOR SERVING ITS  
QUALIFIED PLAN.



## End of Report

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