IAPD Report

NATHANIEL EDWARD EDIE

CRD# 4278231

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

NATHANIEL EDWARD EDIE (CRD# 4278231)

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 **02/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INTEGRITY ALLIANCE, LLC	CRD# 139627	03/21/2022
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	03/21/2022

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	LPL FINANCIAL LLC	6413	OMAHA, NE	08/28/2020 - 02/23/2022
IA	LPL FINANCIAL LLC	6413	OMAHA, NE	08/28/2020 - 02/23/2022
IA	CETERA ADVISORS LLC	10299	OMAHA, NE	04/01/2016 - 09/01/2020

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

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 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	03/21/2022
B	Arkansas	Agent	Approved	03/23/2022
B	California	Agent	Approved	03/22/2022
B	Colorado	Agent	Approved	04/27/2022
B	Florida	Agent	Approved	06/01/2022
B	Georgia	Agent	Approved	04/05/2022
B	Illinois	Agent	Approved	04/05/2022
B	Iowa	Agent	Approved	04/08/2022
B	Kansas	Agent	Approved	03/21/2022
B	Michigan	Agent	Approved	03/23/2022
B	Minnesota	Agent	Approved	03/23/2022
B	Missouri	Agent	Approved	06/08/2023
B	Nebraska	Agent	Approved	03/22/2022

Qualifications

	Regulator	Registration	Status	Date
IA	Nebraska	Investment Adviser Representative	Approved	04/15/2022
B	New Mexico	Agent	Approved	06/09/2022
B	North Carolina	Agent	Approved	03/31/2022
B	Ohio	Agent	Approved	03/21/2022
B	Texas	Agent	Approved	04/14/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	03/21/2022
B	Washington	Agent	Approved	08/18/2022
B	Wisconsin	Agent	Approved	04/01/2022

Branch Office Locations

INTEGRITY ALLIANCE, LLC
15808 W Dodge Rd
Suite 200
Omaha, NE 68118

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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	10/05/2011
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/23/2001

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/15/2016

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
B	08/28/2020 - 02/23/2022	LPL FINANCIAL LLC	CRD# 6413	OMAHA, NE
IA	08/28/2020 - 02/23/2022	LPL FINANCIAL LLC	CRD# 6413	OMAHA, NE
IA	04/01/2016 - 09/01/2020	CETERA ADVISORS LLC	CRD# 10299	OMAHA, NE
B	10/06/2011 - 09/01/2020	CETERA ADVISORS LLC	CRD# 10299	OMAHA, NE
B	06/01/2001 - 05/23/2006	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	01/24/2001 - 06/06/2001	VESTAX SECURITIES CORPORATION	CRD# 10332	HUDSON, OH

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
03/2022 - Present	Brokers International Financial Services	Registered Representative	Y	Omaha, NE, United States
05/2001 - Present	TAGGE RUHERFORD FINANCIAL GROUP	FINANCIAL ADVISOR	Y	OMAHA, NE, United States
08/2020 - 01/2022	LPL Financial LLC	Registered Representative	Y	Omaha, NE, United States
01/2013 - 08/2020	CETERA ADVISORS LLC	REGISTERED REP/IAR	Y	DENVER, CO, 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.EDIE FINANCIAL LLC POSITION: Owner \ President NATURE: Business entity for tax purposes related to running practice INVESTMENT RELATED: Yes NUMBER OF HOURS: null SECURITIES TRADING HOURS: null START DATE: 08/17/2020
ADDRESS: 15808 West Dodge Road, Suite 200, Omaha NE 68118, United States
DESCRIPTION: Payroll, tax forms, paying bills
2. TAGGE RUTHERFORD FINANCIAL GROUP
POSITION: Vice President NATURE: DBA for securities business INVESTMENT RELATED: Yes NUMBER OF HOURS: null

Registration & Employment History

OTHER BUSINESS ACTIVITIES

SECURITIES TRADING HOURS: null START DATE: 10/20/2020
ADDRESS: 15808, Suite 200, Omaha NE 68118, US
DESCRIPTION: DBA
3.TR FINANCIAL GROUP
POSITION: Vice President NATURE: DBA for securities business INVESTMENT RELATED: Yes NUMBER OF HOURS: null SECURITIES TRADING HOURS: null START DATE: 10/21/2020
ADDRESS: 15808 West Dodge Road, Suite 200, Omaha NE 68118, US
DESCRIPTION: DBA
4.15808 WEST DODGE ROAD LLC
POSITION: Owner NATURE: Real estate rental INVESTMENT RELATED: Yes NUMBER OF HOURS: null SECURITIES TRADING HOURS: null START DATE: 02/10/2022
ADDRESS: 15808 West Dodge Road, Suite 200, Omaha NE 68118, US
DESCRIPTION: Owner, real estate rental
5.NON-VARIABLE INSURANCE
POSITION: Agent NATURE: Agent for life, LTC, fixed annuities INVESTMENT RELATED: Yes NUMBER OF HOURS: null SECURITIES TRADING HOURS: null START DATE: 04/01/2016
ADDRESS: 15808 West Dodge Road, Suite 200, Omaha NE 68118, US
DESCRIPTION: Agent for life, LTC, fixed annuities

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

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:	FINRA
Sanction(s) Sought:	
Date Initiated:	06/08/2016
Docket/Case Number:	2015046698102
Employing firm when activity occurred which led to the regulatory action:	Cetera Advisors LLC
Product Type:	Promissory Note
Allegations:	Without admitting or denying the findings, Edie consented to the sanctions and to the entry of findings that he substantially assisted and contributed to his stepfather's misconduct of borrowing money from a customer of their member firm by, among other things, preparing and signing a note reflecting a loan and conveying its proceeds to his stepfather. The findings stated that Edie knew or should have known that he was assisting or contributing to that misconduct, as he was aware that his stepfather could not borrow from his customer directly. The firm prohibited its representatives from borrowing from customers, which Edie and his stepfather knew. In an effort to circumvent that restriction, Edie's stepfather asked him to sign a promissory note reflecting the loan. Edie agreed to do so, and prepared the note. At that time, Edie depended on his stepfather financially, and his stepfather informally guaranteed that Edie's note would be honored. The customer agreed, not because she regarded the loan as a good investment but because she wanted to help Edie's stepfather and his family. Edie received the proceeds of the loan, then conveyed more than half of those funds to his stepfather or used them for his benefit. Edie's stepfather arranged for another loan of $50,000 from the customer, again for the purpose of paying taxes. Edie helped

	his stepfather obtain that loan by drafting a note, which his mother signed. Edie paid interest on both debts until 2012, when the customer demanded the repayment of her loans. Edie promptly repaid the customer, using funds that his stepfather provided. The firm was not aware of the loans until 2015, when the customer complained. After investigating the matter, the firm suspended Edie for two weeks and fined him $2,500.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/08/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	Any capacity
Duration:	10 business days
Start Date:	07/05/2016
End Date:	07/18/2016

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$1,250.00
Portion Levied against individual:	$1,250.00
Payment Plan:	Deferred
Is Payment Plan Current:	
Date Paid by individual:	08/02/2016
Was any portion of penalty waived?	No

Amount Waived:	
Regulator Statement	Edie received some credit for the sanctions that his firm imposed, resulting in a lower sanction in this matter. Fine paid in full on August 2, 2016.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	06/08/2016
Docket/Case Number:	2015046698102
Employing firm when activity occurred which led to the regulatory action:	Cetera Advisors LLC
Product Type:	Promissory Note
Allegations:	Without admitting or denying the findings, Edie consented to the sanctions and to the entry of findings that he substantially assisted and contributed to his stepfather's misconduct of borrowing money from a customer of their member firm by, among other things, preparing and signing a note reflecting a loan and conveying its proceeds to his stepfather. The findings stated that Edie knew or should have known that he was assisting or contributing to that misconduct, as he was aware that his stepfather could not borrow from his customer directly. The firm prohibited its representatives from borrowing from customers, which Edie and his stepfather knew. In an effort to circumvent that restriction, Edie's stepfather asked him to sign a promissory note reflecting the loan. Edie agreed to do so, and prepared the note. At that time, Edie depended on his stepfather financially, and his stepfather informally guaranteed that Edie's note would be honored. The customer agreed, not because she regarded the loan as a good investment but because she wanted to help Edie's stepfather and his family. Edie received the proceeds of the loan, then conveyed more than half of those funds to his stepfather or used them for his benefit. Edie's stepfather arranged for another loan of $50,000 from the customer, again for the purpose of paying taxes. Edie helped his stepfather obtain that loan by drafting a note, which his mother signed. Edie paid interest on both debts until 2012, when the customer demanded the repayment of her loans. Edie promptly repaid the customer, using funds that his stepfather provided. The firm was not aware of the loans until 2015, when the customer complained. After investigating the matter, the firm suspended Edie for two weeks and fined him $2,500.
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Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
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Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	Any Capacity
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Start Date:	07/05/2016
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Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$1,250.00
Portion Levied against individual:	$1,250.00
Payment Plan:	Deferred
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

End of Report

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