



IAPD Report

DONALD PETE PETERSON JR

CRD# 4402496

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

DONALD PETE PETERSON JR (CRD# 4402496)

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 **11/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BALEFIRE, LLC	CRD# 168733	01/10/2024
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	11/03/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	LION STREET FINANCIAL, LLC	165828	Dallas, TX	11/21/2024 - 11/03/2025
B	PURSHE KAPLAN STERLING INVESTMENTS	35747	ALBANY, NY	06/10/2022 - 11/21/2024
IA	FUSE PARTNERS, LLC	168733	DALLAS, TX	11/04/2013 - 12/31/2023

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
Financial	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 **9** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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	11/03/2025
B	Delaware	Agent	Approved	11/03/2025
B	Iowa	Agent	Approved	11/03/2025
B	Minnesota	Agent	Approved	11/03/2025
B	Missouri	Agent	Approved	11/03/2025
B	South Dakota	Agent	Approved	11/03/2025
B	Texas	Agent	Approved	11/03/2025

Branch Office Locations

INTEGRITY ALLIANCE, LLC
14221 Dallas Parkway
Suite 100
Dallas, TX 75254

INTEGRITY ALLIANCE, LLC
Forney, TX

Employment 2 of 2

Firm Name: **BALEFIRE, LLC**
Main Address: 14221 DALLAS PARKWAY
SUITE 100
DALLAS, TX 75254
Firm ID#: 168733



Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	01/10/2024
IA Colorado	Investment Adviser Representative	Approved	01/11/2024
IA Iowa	Investment Adviser Representative	Approved	01/12/2024
IA Kansas	Investment Adviser Representative	Approved	01/11/2024
IA Texas	Investment Adviser Representative	Approved	01/10/2024

Branch Office Locations

BALEFIRE, LLC
14221 DALLAS PARKWAY
SUITE 100
DALLAS, TX 75254



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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	06/19/2001

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/12/2003
B Uniform Securities Agent State Law Examination (S63)	Series 63	06/26/2001



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



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	11/21/2024 - 11/03/2025	LION STREET FINANCIAL, LLC	CRD# 165828	Dallas, TX
B	06/10/2022 - 11/21/2024	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	ALBANY, NY
IA	11/04/2013 - 12/31/2023	FUSE PARTNERS, LLC	CRD# 168733	DALLAS, TX
IA	10/09/2013 - 06/29/2022	LPL FINANCIAL LLC	CRD# 6413	DALLAS, TX
B	09/30/2013 - 06/29/2022	LPL FINANCIAL LLC	CRD# 6413	DALLAS, TX
IA	02/11/2010 - 10/02/2013	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	DALLAS, TX
B	02/10/2010 - 10/02/2013	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	DALLAS, TX
IA	06/17/2003 - 02/03/2010	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	SIOUX FALLS, SD
B	06/20/2001 - 02/03/2010	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	SIOUX FALLS, SD

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
11/2025 - Present	INTEGRITY ALLIANCE, LLC.	Mass Transfer	Y	Dallas, TX, United States
11/2024 - Present	Lion Street Financial	Registered Representative	Y	Austin, TX, United States
06/2022 - Present	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	Albany, NY, United States
10/2013 - Present	Fuse Partners, LLC DBA VisionPoint Advisor Group	INVESTMENT ADVISER REPRESENTATIVE	Y	DALLAS, TX, United States
09/2013 - 06/2022	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	DALLAS, TX, United States



Registration & Employment History



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.BALEFIRE LLC RIA

POSITION: Owner NATURE: Balefire RIA is used for all of our corporate 401(k) plan advisory services as well as my private wealth advisory services. INVESTMENT RELATED: Yes NUMBER OF HOURS: 150 SECURITIES TRADING HOURS: 150 START DATE: 01/01/2025

ADDRESS: 14221 Dallas Parkway Suite 100, Dallas TX 75254, United States

DESCRIPTION: Provide advisory services for qualified 401(k) and non-qualified deferred compensation plans. Also I provide investment management for private wealth advisory accounts.

2.LION STREET. Investment related. Located at 14221 Dallas Parkway, Dallas TX 75254. Nature - Fixed/ Traditional Insurance. Position - Agent. Start - 11/2021. 10 hours per month, all during trading hours. Duties - sales of Fixed/ Traditional insurance products.

3.BALEFIRE LLC INSURANCE SERVICES

POSITION: Owner NATURE: We provide fixed insurance and non-securities insurance planning for private wealth clients

INVESTMENT RELATED: No NUMBER OF HOURS: 50 SECURITIES TRADING HOURS: 50 START DATE: 01/01/2025

ADDRESS: 14221 Dallas Parkway Suite 100, Dallas TX 75254, United States

DESCRIPTION: Provide life/LTC/DI insurance planning for 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
Customer Dispute	2
Financial	1

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

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRINCOR FINANCIAL SERVICES CORPORATION

Allegations: ON 11/26/08 CLIENT WROTE AN EMAIL FEELING THAT TRADES WERE NOT BEING PLACED WHEN SHE REQUESTED THEM. THE ISSUE WAS RESOLVED WHEN WE EXPLAINED TO HER THAT MUTUAL FUNDS WERE ONLY BOUGHT AND SOLD AT THE CLOSE OF MARKET DAY. SHE WAS ALSO CONFUSED ABOUT AN INDIVIDUAL STOCK PURCHASE AND STOP LOSS REQUEST THAT WAS ALSO RESOLVED.

Product Type: Mutual Fund
Unit Investment Trust
Other: BROKERAGE ACCOUNT

Alleged Damages: \$14,000.00

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: 11/26/2008

Complaint Pending? No

Status: Denied



Status Date: 12/09/2008

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement ISSUE WAS SETTLED WITH THE CUSTOMER MOVING HER ACCOUNT. I PAID ALL FEES TO CLOSE THE ACCOUNT AND I FEEL THE CLIENT KNEW SHE WAS MISUNDERSTOOD AND HAD NO FURTHER COMMENTS OR COMPLAINTS. PRINCOR NEVER FELT IT WAS AN ISSUE AND IT SHOULD NOT HAVE BEEN.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRINCOR FINANCIAL SERVICES

Allegations: ON 9/4/07 [CUSTOMER] SUBMITTED A COMPLAINT REGARDING HIS IRA ACCOUNT THAT WAS WITH PRINCOR FROM 1/19/06-2/21/07 THAT DUE TO THE DROP IN STOCK PRICES THAT THE INVESTMENTS RECOMMENDED WERE NOT SUITABLE.

Product Type: Other: BROKERAGE ACCOUNT

Alleged Damages: \$0.00

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: 09/04/2007

Complaint Pending? No

Status: Settled

Status Date: 02/05/2008

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$0.00



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source: Individual

Action Type: Compromise

Action Date: 11/20/2017

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 11/20/2017

If a compromise with creditor, provide:

Name of Creditor: OCWEN LOAN SERVICING, LLC.

Original Amount Owed: \$69,683.08

Terms Reached with Creditor: SETTLED FOR LESS - AMOUNT OWED 69,683.08 - AMOUNT PAID 5,574.65



End of Report

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