



IAPD Report

HOMER SCOVILLE SMITH IV

CRD# 4424221

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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

HOMER SCOVILLE SMITH IV (CRD# 4424221)

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 **02/02/2026**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA INTEGRATED WEALTH CONCEPTS LLC	CRD# 284656	11/08/2019

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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 AMERIPRISE FINANCIAL SERVICES, INC.	6363	BREMERTON, WA	08/19/2011 - 11/12/2019
IA AMERIPRISE FINANCIAL SERVICES, INC.	6363	BREMERTON, WA	08/19/2011 - 11/12/2019
IA 1ST GLOBAL ADVISORS INC	111133	BREMERTON, WA	04/30/2010 - 08/31/2011

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	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **INTEGRATED WEALTH CONCEPTS LLC**
Main Address: 200 5TH AVENUE
4TH FLOOR
WALTHAM, MA 02451
Firm ID#: 284656

	Regulator	Registration	Status	Date
	Texas	Investment Adviser Representative	Restricted Approval	05/06/2020
	Washington	Investment Adviser Representative	Approved	11/08/2019

Branch Office Locations

INTEGRATED WEALTH CONCEPTS LLC
3025 HARBORVIEW DRIVE
GIG HARBOR, WA 98335



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 3 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	12/28/2007
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/27/2007
General Securities Principal Examination (S24)	Series 24	04/13/2007

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	08/23/2001

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	09/05/2001

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	08/19/2011 - 11/12/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	BREMERTON, WA
IA	08/19/2011 - 11/12/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	BREMERTON, WA
IA	04/30/2010 - 08/31/2011	1ST GLOBAL ADVISORS INC	CRD# 111133	BREMERTON, WA
B	04/30/2010 - 08/31/2011	1ST GLOBAL CAPITAL CORP.	CRD# 30349	BREMERTON, WA
IA	09/10/2001 - 04/22/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	HONOLULU, HI
B	08/24/2001 - 04/22/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	HONOLULU, HI
B	08/24/2001 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
11/2019 - Present	INTEGRATED WEALTH CONCEPTS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	WALTHAM, MA, United States
08/2011 - 11/2019	Ameriprise Financial Services, Inc.	Registered Rep	Y	Bremerton, WA, 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. Business Ownership; Homer Smith LLC; Member; We have hired EmployShare to help us create an outside consulting arrangement with other professionals when we need to hire their professional skills on a case by case method and compensation is paid on a pre-determined hourly rate which is set in the contract; Gig Harbor, WA 98335; Sept 2012; 1-9 hours per month/
2. HWM, LLC; Member; The LLC was set up to manage the expenses of our team practice; Gig Harbor, WA 98335; Not Investment Related; May 2013; 1-9 hours per month; 1-9 during trading hours/
3. 11/2019; M&A broker through the RIA's M&A broker service offering; DBA Integrated Business Alliance; Investment Related; 10



Registration & Employment History



OTHER BUSINESS ACTIVITIES

hours per month; 10 during trading hours.

4. 2/2021: M&A broker through the RIA's M&A broker service offering; DBA Integrated Business Owner Solutions - Investment Related - 10 hours per month; 10 hours during trading hours

5. 3/3/2022 - Integrated Wealth Concepts, LLC - DBA: (Hybrid) DK Wealth Management - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - IAR - Started 3/3/2022 - 15 Hours Per Month During Securities Trading.

6. 06/01/2022: REAL ESTATE RENTAL - NON INV RELATED - AT REPORTED LOCATION(S) - 10 HOURS PER MONTH / 0 HOURS DURING SECURITIES TRADING HOURS - START DATE 06/01/2022

7. 11/28/2022 - EMPLOYEE RETENTION TAX CREDIT SERVICES - REFERRAL - INV-RELATED - AT REPORTED LOCATIONS(S) - LESS THAN 1 HOUR PER MONTH/LESS THAN 1 HOUR DURING SECURITIES TRADING.

8. 08/01/2024 - AUTHOR - NON-INV RELATED - AT REPORTED LOCATION(S) - LESS THAN 5 HOURS PER MONTH/LESS THAN 5 HOURS PER SECURITIES TRADING HOURS

9. 03/2025 - BUSINESS CONSULTING - INV-REL - AT REPORTED LOCATION(S) - LESS THAN 5 HOURS PER MONTH/LESS THAN 5 HOURS PER SECURITIES TRADING HOURS



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	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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Ameriprise Financial Services, Inc.
Allegations:	Claimant alleges that AFSI prematurely liquidated his Oppenheimer IRA account rather than transferring the account to his ex-wife as contemplated in the Court's QDRA order. Claimant claims that the liquidation value was less than the appreciating value of the IRA account to which the ex-wife would have been entitled.
Product Type:	Other: Oppenheimer IRA account
Alleged Damages:	\$32,273.23
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	19-03463
Filing date of arbitration/CFTC reparation or civil litigation:	11/22/2019

Customer Complaint Information

Date Complaint Received: 11/22/2019



Complaint Pending? No
Status: Settled
Status Date: 07/13/2020
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$0.00
Firm Statement Claimant has never been an Ameriprise client. Mr. Smith provided advice to claimant on his direct-at-fund Oppenheimer account. Ameriprise settled this matter to avoid the costs associated with arbitration.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: Ameriprise Financial Services, Inc.
Allegations: The client alleged a sell transaction involving a mutual fund, OAAAX, was executed in January 2019 without authorization.
Product Type: Mutual Fund
Alleged Damages: \$32,273.23
Alleged Damages Amount Explanation (if amount not exact): The Firm received a letter from the client's attorney dated September 3, 2019, which contained an updated damage claim.
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: 06/10/2019
Complaint Pending? No
Status: Denied
Status Date: 06/27/2019
Settlement Amount:
Individual Contribution Amount:



End of Report

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