



IAPD Report

ROBERT MARTIN VAN PELT

CRD# 453274

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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

ROBERT MARTIN VAN PELT (CRD# 453274)

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 **01/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	07/09/2015
IA	INTEGRITY ALLIANCE, LLC	CRD# 139627	04/28/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	BEDMINSTER FINANCIAL GROUP, LIMITED	39916	HOLICONG, PA	07/17/1996 - 12/31/2014
IA	VAN CONSULTING, INC.	143506	NEW HOPE, PA	04/25/2008 - 10/24/2011
B	MAKEFIELD SECURITIES CORPORATION	15271	STUART, FL	04/11/1994 - 11/01/1996

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	2
Financial	3



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 7 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	07/09/2015
B	FINRA	General Securities Representative	Approved	07/09/2015
B	FINRA	Investment Banking Representative	Approved	07/09/2015
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	California	Agent	Approved	12/12/2018
B	Connecticut	Agent	Approved	06/03/2024
B	District of Columbia	Agent	Approved	05/21/2021
B	Florida	Agent	Approved	04/18/2018
B	New Jersey	Agent	Approved	03/05/2020
B	Pennsylvania	Agent	Approved	07/10/2015
IA	Pennsylvania	Investment Adviser Representative	Approved	04/28/2016
B	Washington	Agent	Approved	01/13/2025

Branch Office Locations



Qualifications

INTEGRITY ALLIANCE, LLC
1539 Windmill Road
Warminster, PA 18974






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, 5 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/02/2023
	Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	03/23/1990
	Registered Principal Examination (S40)	Series 40	01/16/1975

General Industry/Product Exams

	Exam	Category	Date
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	AMEX Put and Call Exam (PC)	PC	02/01/1979
	Registered Representative Examination (S1)	Series 1	08/08/1974

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	04/22/2016
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/30/1980



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	07/17/1996 - 12/31/2014	BEDMINSTER FINANCIAL GROUP, LIMITED	CRD# 39916	HOLICONG, PA
IA	04/25/2008 - 10/24/2011	VAN CONSULTING, INC.	CRD# 143506	NEW HOPE, PA
B	04/11/1994 - 11/01/1996	MAKEFIELD SECURITIES CORPORATION	CRD# 15271	STUART, FL
B	06/25/1993 - 08/11/1993	MAKEFIELD SECURITIES CORPORATION	CRD# 15271	STUART, FL
B	11/19/1992 - 02/23/1993	B. PIERCE & CO. INC.	CRD# 28275	LONDON, UNITED KING
B	01/30/1990 - 12/10/1992	WASHINGTON CROSSING FINANCIAL SERVICES CORP.	CRD# 24398	
B	09/24/1990 - 11/09/1990	MAKEFIELD SECURITIES CORPORATION	CRD# 15271	
B	08/25/1988 - 01/29/1990	MAKEFIELD SECURITIES CORPORATION	CRD# 15271	STUART, FL
B	08/13/1974 - 08/05/1988	BERNARD HEROLD & CO., INC.	CRD# 6193	

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
07/2015 - Present	Integrity Alliance, LLC	REGISTERED REPRESENTATIVE	Y	Warminster, PA, United States
07/2008 - Present	VAN CONSULTING INC	PRESAIDENT OWNER	Y	NEW HOPE, PA, 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. VAN CONSULTING; 20 BARCLAY STREET, NEWTOWN, PA 18940; NOT SECURITIES RELATED; PERSONAL FINANCIAL TAX PLANNER; OWNER; STARTED 1/1/2008; 0 HOURS DURING TRADING; 1 HOUR PER MONTH; 0 ANNUAL INCOME FROM THIS ACTIVITY.
2. FIXED INSURANCE SALES; 20 BARCLAY STREET, NEWTOWN, PA 18940; START DATE 5/2015; 40 HOURS PER MONTH; 20 HOURS DURING TRADING HOURS; SELL FIXED INSURANCE AND ANNUITIES THROUGH A FMO; ANNUAL INCOME IS A QUESTION SINCE I HAVE ONLY BEEN DOING THIS FOR 2 MONTHS.



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	2
Financial	3

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	09/26/2013
Docket/Case Number:	2011025548101
Employing firm when activity occurred which led to the regulatory action:	BEDMINSTER FINANCIAL GROUP, LIMITED
Product Type:	No Product

Allegations: FINRA RULE 2010, NASD RULES 2110, 3010 - A MEMBER FIRM, ACTING THROUGH ITS PRESIDENT AND CHIEF COMPLIANCE OFFICER, ROBERT VAN PELT, FAILED TO ENFORCE ITS WRITTEN SUPERVISORY PROCEDURES (WSPS) PROHIBITING SECURITIES AND INVESTMENT BANKING RELATED COMMUNICATIONS FROM OUTSIDE EMAIL ACCOUNTS BE APPROVED AND DID NOT HAVE ANY SYSTEM IN PLACE TO VERIFY COMPLIANCE WITH ITS PROCEDURES. CONTRARY TO ITS WSPS, THE FIRM'S OPERATIONS MANAGER AND TWO PART-TIME UNREGISTERED PERSON REVIEWED EMAILS. ONLY EMAILS THAT HAD BEEN FLAGGED THROUGH A KEY WORD SEARCH THROUGH THE THIRD PARTY SERVICE PROVIDER'S SYSTEM WERE BROUGHT TO VAN PELT FOR REVIEW AND APPROVAL. THE REVIEW PROCEDURE WAS NOT ENFORCED FOR NON-FIRM EMAIL ACCOUNTS WHERE VAN PELT WAS AWARE THAT SEVERAL REPRESENTATIVES UTILIZED OUTSIDE EMAIL ACCOUNTS. THE FIRM DID NOT CONDUCT ANY SPOT CHECKS OF REPRESENTATIVES' EMAILS TO ENSURE THEY WERE NOT USING KNOWN PERSONAL EMAIL ACCOUNTS IN



A MANNER PROHIBITED BY THE FIRM'S PROCEDURES; THE FIRM DID NOT REQUIRE PERIODIC ATTESTATIONS FROM REPRESENTATIVES STATING THEY WERE COMPLYING WITH THE FIRM'S EMAIL REQUIREMENTS. THE FIRM OPERATED APPROXIMATELY 33 NON-BRANCH OFFICES AND THE FIRM, OPERATING THROUGH VAN PELT, FAILED TO ESTABLISH AND IMPLEMENT AN INSPECTION SCHEDULE FOR THESE OFFICES AND PERFORMED NO SUCH INSPECTIONS. THE FIRM, ACTING THROUGH VAN PELT, FAILED TO ENFORCE ITS WSPS FOR THE REVIEW AND APPROVAL OF REPRESENTATIVES' HYPERLINKED WEBSITES; FAILED TO CONDUCT THE REQUIRED REVIEW AND APPROVAL OF THESE WEBSITES; AND FAILED TO MONITOR THE WEBSITES ON A REGULAR BASIS TO IDENTIFY AND CORRECT ANY VARIANCES FROM THE FIRM'S POLICIES AND PROCEDURES. THE FIRM, ACTING THROUGH VAN PELT, FAILED TO ENFORCE ITS WSPS THAT WERE REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH THE PRESERVATION AND REVIEW OF BUSINESS-RELATED EMAILS; THE INSPECTION OF NON-BRANCH OFFICES; AND THE REVIEW AND APPROVAL OF FIRM WEBSITES.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

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: 11/21/2013

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:	PRINCIPAL CAPACITY
Duration:	30 DAYS
Start Date:	12/16/2013
End Date:	01/14/2014

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

**Amount Waived:****Regulator Statement**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, VANPELT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS THEREFORE, HE IS FINED \$5,000 JOINTLY AND SEVERALLY, FINED AN ADDITIONAL \$5,000 INDIVIDUALLY, FOR A TOTAL FINE OF \$10,000, AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR 30 DAYS. THE SUSPENSION IS IN EFFECT FROM DECEMBER 16, 2013 THROUGH JANUARY 14, 2014. \$5,000 FINE PAID ON DECEMBER 6, 2013.

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Reporting Source:

Individual

Regulatory Action Initiated By:

FINRA

Sanction(s) Sought:

Other: NA

Date Initiated:

09/26/2013

Docket/Case Number:[2011025548101](#)**Employing firm when activity occurred which led to the regulatory action:**

BEDMINSTER FINANCIAL GROUP, LTD.

Product Type:

No Product

Allegations:

FAILURE TO ENFORCE WSP FINRA RULE 2010, NASD RULE 3010 2110

Current Status:

Final

Resolution:

Decision & Order of Offer of Settlement

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:

11/21/2013

Sanctions Ordered:Civil and Administrative Penalty(ies)/Fine(s)
Suspension**Sanction 1 of 1****Sanction Type:**

Suspension

Capacities Affected:

PRINCIPAL,CAPACITY

Duration:

30 DAYS

Start Date:

12/16/2013

End Date:

01/14/2014

Monetary Sanction 1 of 1**Monetary Related Sanction:**

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$10,000.00

Portion Levied against individual:

\$10,000.00

**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Broker Statement**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, VAN PELT CONSENTED TO THE DESCRIBED SANCTIONS AND ENTRY OF FINDINGS AND AGREED TO FINES AND A SUSPENSION OF 30 DAYS FROM ALL PRINCIPAL CAPACITIES FROM DECEMBER 16 2013 THROUGH JANUARY 14 2014

Disclosure 2 of 2**Reporting Source:** Individual**Regulatory Action Initiated By:** INSURANCE COMMISSIONER STATE OF PA.**Sanction(s) Sought:** Cease and Desist**Date Initiated:** 06/19/2009**Docket/Case Number:** CO09-04-034**Employing firm when activity occurred which led to the regulatory action:** BEDMINSTER FINANCIAL GROUP, LTD.**Product Type:** Annuity-Fixed**Allegations:** ALLEGED FACTS, ON 2 OCCASIONS IN 2003, I SOLD INSURANCE PRODUCT NOT APPROVED FOR SALE TO THE RESIDENTS OF PA WHOSE APPLICATIONS INCORRECTLY STATED THAT THEY WERE SINGED IN NJ WHERE THE PRODUCT WAS APPROVED**Current Status:** Final**Resolution:** Consent**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:** 06/19/2009**Sanctions Ordered:** Cease and Desist



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 3

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 11
Action Date: 09/12/2019

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: Eastern District of Pennsylvania
Location of Court: Buck County
Docket/Case #: 19-15690
Action Pending? Yes
Disposition: Dismissed
Disposition Date: 12/19/2019

Disclosure 2 of 3

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 13
Action Date: 05/06/2019

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: Eastern District of Pennsylvania
Location of Court: Buck County
Docket/Case #: 1912939
Action Pending? No
Disposition: Dismissed
Disposition Date: 08/27/2019

Disclosure 3 of 3

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 7



Action Date:	09/14/2017
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	US Bankruptcy Court Eastern District Pa,
Location of Court:	900 Market St Philadelphia Pa19107
Docket/Case #:	17-16290-elf
Action Pending?	No
Disposition:	Discharged
Disposition Date:	01/08/2018



End of Report

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