



IAPD Report

JEFF DAVID JEWETT

CRD# 4568636

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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

JEFF DAVID JEWETT (CRD# 4568636)

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 **07/24/2024**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA INTEGRITY ALLIANCE, LLC	CRD# 139627	06/24/2019

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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 NEXT FINANCIAL GROUP, INC.	46214	BEND, OR	09/19/2006 - 05/15/2007
IA ESI FINANCIAL ADVISORS	265	BEND, OR	09/25/2002 - 02/16/2006
B EQUITY SERVICES, INC.	265	MONTPELIER, VT	08/21/2002 - 02/16/2006

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
Customer Dispute	2
Termination	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 **1** jurisdiction(s) and **0** 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
IA Oregon	Investment Adviser Representative	Approved	06/24/2019

Branch Office Locations

INTEGRITY ALLIANCE, LLC
300 SE REED MARKET RD
Suite 103
BEND, OR 97702



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, 1 general industry/product exam, 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
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B General Securities Representative Examination (S7)	Series 7	08/20/2002
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/21/2019
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IA B Uniform Combined State Law Examination (S66)	Series 66	09/17/2002
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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	09/19/2006 - 05/15/2007	NEXT FINANCIAL GROUP, INC.	CRD# 46214	BEND, OR
IA	09/25/2002 - 02/16/2006	ESI FINANCIAL ADVISORS	CRD# 265	BEND, OR
B	08/21/2002 - 02/16/2006	EQUITY SERVICES, INC.	CRD# 265	MONTPELIER, VT

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
05/2019 - Present	Brokers International Financial Services	Investment Advisor Representative	Y	Bend, OR, United States
06/2012 - Present	Jeff Jewett Financial Group	Insurance Agent	N	Bend, OR, United States
05/2007 - 06/2017	Frontier Management	Administrator	N	Bend, OR, 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.

Jeff Jewett Financial Group; Investment related; 300 SE Reed Market Rd, Ste 103, Bend, OR 97702; Advisory and Fixed Insurance Sales; Owner; 01/07/2020; 160 hours per month; 130 hours during security hours; Sales and service of fixed insurance and advisory products.



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
Customer Dispute	2
Termination	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:

Other Sanction(s) Sought:

Date Initiated: 02/03/2009

Docket/Case Number: [2007008994701](#)

Employing firm when activity occurred which led to the regulatory action: NEXT FINANCIAL GROUP, INC.

Product Type: Other

Other Product Type(s): MEMBERSHIP INTERESTS SECURITIES

Allegations: NASD RULES 2110, 3040: JEWETT PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS FOR COMPENSATION WITHOUT PROVIDING PRIOR WRITTEN NOTICE TO, OR RECEIVING PRIOR WRITTEN APPROVAL FROM HIS MEMBER FIRM.

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:	02/03/2009
Sanctions Ordered:	Monetary/Fine \$15,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, JEWETT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$15,000, WHICH INCLUDES THE DISGORGEMENT OF FINANCIAL BENEFITS RECEIVED BY HIM OF \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 18 MONTHS. THE FINE IS DUE AND PAYABLE EITHER IMMEDIATELY UPON RE-ASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IN ANY CAPACITY IS IN EFFECT FROM FEBRUARY 17, 2009 THROUGH AUGUST 16, 2010.
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Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Disgorgement Suspension
Date Initiated:	06/04/2007
Docket/Case Number:	20070089947-01
Employing firm when activity occurred which led to the regulatory action:	Next Financial
Product Type:	Promissory Note
Allegations:	Selling unregulated securities without prior written permission.
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:	01/30/2009
Sanctions Ordered:	Disgorgement Suspension



Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	18 Month Suspension with any member of FINRA
Duration:	18 month
Start Date:	01/30/2009
End Date:	06/30/2010

Monetary Sanction 1 of 1

Monetary Related Sanction:	Disgorgement
Total Amount:	\$15,000.00
Portion Levied against individual:	\$15,000.00
Payment Plan:	Effective 3/2019
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



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: Firm

Employing firm when activities occurred which led to the complaint: EQUITY SERVICES, INC.

Allegations: MISREPRESENTATION WITH REGARD TO SURRENDER CHARGES AND COST OF INSURANCE ON A VARIABLE UNIVERSAL LIFE POLICY.

Product Type: Insurance

Alleged Damages: \$7,338.00

Customer Complaint Information

Date Complaint Received: 08/28/2006

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/20/2008

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EQUITY SERVICES, INC.

Allegations: MISREPRESENTATION WITH REGARD TO SURRENDER CHARGES AND COST OF INSURANCE ON A VARIABLE UNIVERSAL POLICY.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$7,338.00

Customer Complaint Information

Date Complaint Received: 09/21/2006

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: EQUITY SERVICES, INC.

Allegations: THE CLIENT ALLEGES THAT THE REPRESENTATIVE DID NOT PROPERLY REPRESENT A VARIABLE LIFE POLICY THAT WAS DESCRIBED AS AN EXECUTIVE BONUS PLAN, THE TAXABLE NATURE OF THE DISTRIBUTIONS TAKEN FROM THE PLAN AND THE TAX DEDUCTIBILITY OF THE PREMIUMS PAID.

Product Type: Insurance

Alleged Damages: \$6,500.00

Customer Complaint Information

Date Complaint Received: 07/25/2006

Complaint Pending? No

Status: Settled

Status Date: 10/18/2006

Settlement Amount: \$6,500.00

Individual Contribution Amount: \$3,250.00

Firm Statement AS A GOODWILL GESTURE TO AMICABLY CLOSE THE MATTER, THE TWO FORMER REPRESENTATIVES OF RECORD ON THE POLICY EACH PAID ONE HALF OF THE CLIENT'S REQUEST OF \$6,500.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EQUITY SERVICE, INC

Allegations: THE CLIENT ALLEGES THAT THE REPRESENTATIVE DID NOT PROPERLY REPRESENT A VARIABLE LIFE POLICY THAT WAS DESCRIBED AS AN EXECUTIVE BONUS PLAN, THE TAXABLE NATURE OF THE DISTRIBUTIONS TAKEN FROM THE PLAN AND THE TAX DEDUCTIBILITY OF THE PREMIUMS PAID.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$6,500.00

Customer Complaint Information

Date Complaint Received: 07/25/2006

Complaint Pending? No

Status: Settled

Status Date: 10/18/2006

Settlement Amount: \$6,500.00

Individual Contribution Amount: \$3,250.00

Broker Statement AS A GOODWILL GESTURE TO AMICABLY CLOSE THE MATTER, THE TWO FORMER REPRESENTATIVES OF RECORD ON THE POLICY EACH PAID ONE HALF OF THE CLIENT'S REQUEST OF \$6,500.00



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Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	NEXT FINANCIAL GROUP INC
Termination Type:	Discharged
Termination Date:	05/15/2007
Allegations:	RR WAS DISCHARGED FOR FACILITATING A PRIVATE SECURITIES TRANSACTION WITHOUT NOTICE TO OR APPROVAL FROM THE FIRM
Product Type:	Other
Other Product Types:	REAL ESTATE



End of Report

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