



## IAPD Report

# ADAM D OLSON

CRD# 5959908

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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

### ADAM D OLSON (CRD# 5959908)

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 **09/18/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	09/28/2011
<b>IA</b>	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	01/10/2012

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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
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No information reported.

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

### Employment 1 of 1

Firm Name: **MUTUAL OF OMAHA INVESTOR SERVICES, INC.**

Main Address: 3300 MUTUAL OF OMAHA PLAZA  
OMAHA, NE 68175-1020

Firm ID#: 611

	Regulator	Registration	Status	Date
	FINRA	Invest. Co and Variable Contracts	Approved	09/28/2011
	FINRA	General Securities Representative	Approved	01/09/2019
	Arizona	Agent	Approved	10/25/2023
	Arkansas	Agent	Approved	08/04/2023
	California	Agent	Approved	05/08/2023
	Colorado	Agent	Approved	06/21/2023
	Florida	Agent	Approved	04/09/2024
	Idaho	Agent	Approved	06/12/2024
	Illinois	Agent	Approved	08/26/2021
	Iowa	Agent	Approved	05/26/2016
	Kansas	Agent	Approved	07/06/2017
	Minnesota	Agent	Approved	07/03/2018
	Missouri	Agent	Approved	06/18/2025



## Qualifications

	Regulator	Registration	Status	Date
B	Nebraska	Agent	Approved	09/28/2011
IA	Nebraska	Investment Adviser Representative	Approved	01/10/2012
B	Ohio	Agent	Approved	02/24/2021
B	Oklahoma	Agent	Approved	02/20/2024
B	Pennsylvania	Agent	Approved	09/04/2025
B	South Carolina	Agent	Approved	06/20/2023
B	South Dakota	Agent	Approved	05/26/2016
B	Tennessee	Agent	Approved	08/27/2024
B	Texas	Agent	Approved	05/27/2016
B	Utah	Agent	Approved	02/09/2022
B	Virginia	Agent	Approved	06/16/2023

## Branch Office Locations

**MUTUAL OF OMAHA INVESTOR SERVICES, INC.**  
2006 Market Lane  
NORFOLK, NE 68701

**MUTUAL OF OMAHA INVESTOR SERVICES, INC.**  
217 S 4TH ST  
O'NEILL, NE 68763



## 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 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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	General Securities Representative Examination (S7TO)	Series 7TO	01/09/2019
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/27/2011

#### State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	11/29/2011
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/25/2011

### 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:

No information reported.

### 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
07/2011 - Present	MUTUAL OF OMAHA INVESTOR SERVICES, INC	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, United States
06/2011 - Present	MUTUAL OF OMAHA	INSURANCE AGENT	N	NORFOLK, NE, 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.

1/3 PARTNER IN REISER INSURANCE GROUP. PROPERTY AND CASUALTY AGENCY IN ONEILL, NE. I BECAME A PARTNER 1-1-14 IN THIS GROUP AND SPEND 10-20 HOURS A WEEK DOING BUSINESS RELATED TO THIS COMPANY. I WORK AS A SALES AGENT FOR HOME AUTO AND FARM COVERAGE. ALSO WORK AS A MANAGING PARTNER.

DBA: Reiser Insurance (use on building signage)

DBA Name: REISER INSURANCE GROUP  
217 S 4TH ST, O'NEILL, NE 68763  
(402) 336-1983

DBA Name: REISER WEALTH MANAGEMENT LLC.

CAM Holdings LLC, Used for a holding for a commercial building.

Board Member; Oasis Counseling International; Start date: 11/19/2015; Non-Investment related; I vote on Grants and provide business guidance; No Check writing ability; approximately 1 hour per month is spent on this board

Board Member: Faith Regional Health Services; Start Date: 3-1-22; Non-Investment related; I help with the overall objective of running the hospital; No check writing ability; Approximately 1 hour per month is spend on this board.

Author; 21 Things you need to know about Money; Publish Date: 5-1-19; General Financial Planning topics, personal financial topics; Reviewed and approved by compliance on 05/26/2019.

Author; What's your plan; Publish date: 2-28-21; General Financial Planning topics, personal financial topics; Reviewed and approved by compliance on 02/10/2021.

Seminar Speaker: Get Your Money Right & RedZone Retirement Planning Process; Updated Start Date: 09/03/2025; Investment



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Related; Teaching Financial Literacy Class & Retirement Planning Process; Presentation submitted/approved through Compliance; Approximately 6 hours per month.

Insurance Agent; Start Date: 9/27/2011; Non-Investment Related; Insurance lines: Health, Life, and Annuity, Dental, Vision; Approximately 40 hours per month.

Four Sons Acres LLC, Farming operation 3-20-25. Non investment related, custom farming operation. Minimal time 2-4 hours per month. Not a active job.

Portal Real Estate LLC, 2025. Passive real estate investment, property in Omaha NE.

YouTube - income generated from views on channel

Mutual of Omaha Mortgage Lead Incentive Program; not investment related. Less than 1 hour per week. Submit qualified forward/reverse mortgage leads to Mutual of Omaha Mortgage when a customer indicates a potential need for these services.





## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	MUTUAL OF OMAHA INVESTOR SERVICES, INC.
<b>Allegations:</b>	Client alleged trades were placed in his qualified accounts rather than being held in cash as instructed causing a loss of approximately \$7,000. Representative denies and documentation confirms the client was aware and agreed to the initial investment and subsequent investments via dollar-cost-averaging. The firm's review found no evidence of mishandling by the representative.
<b>Product Type:</b>	Other: Third-Party Managed Account
<b>Alleged Damages:</b>	\$7,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/17/2022
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	04/11/2023
<b>Settlement Amount:</b>	



**Individual Contribution  
Amount:**



## End of Report

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