



IAPD Report

DUSTIN RICHARD JOHNSON

CRD# 6280161

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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

DUSTIN RICHARD JOHNSON (CRD# 6280161)

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 **04/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	03/31/2022
IA	INTEGRITY ALLIANCE, LLC	CRD# 139627	04/15/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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
IA	LPL FINANCIAL LLC	6413	OMAHA, NE	09/04/2020 - 02/23/2022
B	LPL FINANCIAL LLC	6413	OMAHA, NE	08/28/2020 - 02/23/2022
IA	CETERA ADVISORS LLC	10299	OMAHA, NE	06/21/2019 - 09/01/2020

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
Termination	1
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 **4** 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
	FINRA	General Securities Representative	Approved	03/31/2022
	FINRA	Invest. Co and Variable Contracts	Approved	03/31/2022
	Florida	Agent	Approved	06/02/2022
	Iowa	Agent	Approved	04/13/2022
	Nebraska	Agent	Approved	04/15/2022
	Nebraska	Investment Adviser Representative	Approved	04/15/2022
	Texas	Investment Adviser Representative	Restricted Approval	02/09/2024

Branch Office Locations

INTEGRITY ALLIANCE, LLC
15808 W Dodge Rd
Suite 200
Omaha, NE 68118

INTEGRITY ALLIANCE, LLC
701 W Sheridan Ave
Shenandoah, IA 51601

INTEGRITY ALLIANCE, LLC
101 E Main St
Clarinda, IA 51632

INTEGRITY ALLIANCE, LLC
1108 Broadway
Denison, IA 51442



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	04/05/2016
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/28/2014

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	04/26/2019
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/19/2014



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/04/2020 - 02/23/2022	LPL FINANCIAL LLC	CRD# 6413	OMAHA, NE
B	08/28/2020 - 02/23/2022	LPL FINANCIAL LLC	CRD# 6413	OMAHA, NE
IA	06/21/2019 - 09/01/2020	CETERA ADVISORS LLC	CRD# 10299	OMAHA, NE
B	02/09/2016 - 09/01/2020	CETERA ADVISORS LLC	CRD# 10299	OMAHA, NE
B	01/28/2014 - 01/25/2016	WOODMEN FINANCIAL SERVICES, INC.	CRD# 117365	OMAHA, NE

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
03/2022 - Present	Brokers International Financial Services	Registered Representative	Y	Omaha, IA, United States
02/2018 - Present	TAGGE RUTHERFORD FINANCIAL GROUP	ADMINISTRATIVE ASSISTANT	Y	OMAHA, NE, United States
08/2020 - 01/2022	LPL Financial LLC	Registered Representative	Y	Omaha, NE, United States
02/2016 - 08/2020	CETERA ADVISORS LLC	REGISTERED REP/INVESTMENT ADVISER REP	Y	DENVER, CO, 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. Omaha Home For Boys; not investment related; 4343 N. 52nd St, Omaha, NE 68104; Board of Directors; Masonic Director; 02/23/2024; 3 hours per month; 0 hours during security hours; Fundraising, review of operating financials, and by-laws
2.SKODA-THURBER FOUNDATION
POSITION: Vice President NATURE: Non-Profit Organization INVESTMENT RELATED: No NUMBER OF HOURS: null
SECURITIES TRADING HOURS: null START DATE: 12/11/2018
ADDRESS: 4905 S. 131st St, Omaha NE 68137, United States
DESCRIPTION: Co-founder and current board vice president. I assist with all day-to-day operations and decisions, including but not limited to, application for assistance review, distribution of funds, fundraising, and marketing.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

3.VARIOUS FIXED LIFE INSURANCE COMPANIES

POSITION: Sales NATURE: Various fixed life insurance companies. INVESTMENT RELATED: No NUMBER OF HOURS: null

SECURITIES TRADING HOURS: null START DATE: 02/09/2016

ADDRESS: 15808 W. Dodge Rd, Ste 200, Omaha NE 68118, United States

DESCRIPTION: Writing fixed life insurance for clients.

4.MUSTACHES FOR KIDS

POSITION: Fundraiser NATURE: Non-Profit Organization. INVESTMENT RELATED: No NUMBER OF HOURS: null

SECURITIES TRADING HOURS: null START DATE: 05/01/2016

ADDRESS: 6526 S. 172nd Ave, Omaha NE 68135, United States

DESCRIPTION: I am part of approximately 250 men in the Omaha, NE area that help raise money for Mustaches for Kids.Each year, Mustaches for Kids, Omaha chooses at least one locally-based, youth-focused charity to support. We as "growers" (aka fundraisers) grow just a mustache during the month of May and help raise money for the chosen charity.

5.CURL THE TIPS BBQ, LLC

POSITION: Co-Owner NATURE: Barbecue catering company INVESTMENT RELATED: No NUMBER OF HOURS: null

SECURITIES TRADING HOURS: null START DATE: 11/16/2018

ADDRESS: 907 Sally St, Papillion NE 68046, United States

DESCRIPTION: Cooking barbecue

6.TR FINANCIAL GROUP

POSITION: Financial Consultant NATURE: DBA INVESTMENT RELATED: Yes NUMBER OF HOURS: null SECURITIES

TRADING HOURS: null START DATE: 02/09/2016

ADDRESS: 15808 W. Dodge Rd, Ste 200, Omaha NE 68118, United States

DESCRIPTION: Primary business activities include brokerage services, client servicing, and daily business activities.

7.PETERSON INVESTMENT MANAGEMENT

POSITION: Financial Consultant NATURE: Employed by Monte L. Peterson, president of Peterson Investment Management, as an administrative assistant. INVESTMENT RELATED: Yes NUMBER OF HOURS: null SECURITIES TRADING HOURS: null

START DATE: 04/15/2017

ADDRESS: 15808 W. Dodge Rd, Ste 200, Omaha NE 68118, United States

DESCRIPTION: Assist Monte with day-to-day operations, including but not limited to, client review preparation, business processing, client reviews/phone calls/emails.



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
Termination	1
Financial	1

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: LPL FINANCIAL LLC
Termination Type: Discharged
Termination Date: 01/24/2022
Allegations: Representative re-used customer signature on account transfer form.
Product Type: No Product

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Reporting Source: Individual
Firm Name: LPL FINANCIAL LLC
Termination Type: Discharged
Termination Date: 01/24/2022
Allegations: Representative re-used customer signature on account transfer form.
Product Type: No Product



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: 07/22/2016

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 07/25/2016

If a compromise with creditor, provide:

Name of Creditor: Capital One

Original Amount Owed: \$500.00

Terms Reached with Creditor: Not sure of the Original Amount Owed, but I accepted a Compromise and Settled for \$190.00



End of Report

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