BrokerCheck Report

SAM RADIN

CRD# 2549792

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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

SAM RADIN

CRD# 2549792

Currently employed by and registered with the following Firm(s):

B **INTEGRITY ALLIANCE, LLC.**
485 Lexington Avenue
Suite 1700
New York, NY 10017
CRD# 139627
Registered with this firm since: 11/03/2025

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 15 U.S. states and territories

This individual is currently inactive or suspended with at least one regulator.

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

B **LION STREET FINANCIAL, LLC**
CRD# 165828
New York, NY
05/2023 - 11/2025

B **EQUITABLE ADVISORS, LLC**
CRD# 6627
NEW YORK, NY
04/2018 - 06/2023

B **MML INVESTORS SERVICES, LLC**
CRD# 10409
NEW YORK, NY
03/2017 - 04/2018

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 15 U.S. states and territories through his or her employer.

The individual has 1 inactive or suspended registration.

For an explanation on inactive and suspended registrations, click here.

Employment 1 of 1

Firm Name: **INTEGRITY ALLIANCE, LLC.**

Main Office Address: **4135 NW URBANDALE DR**
URBANDALE, IA 50322

Firm CRD#: **139627**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Inactive - Continuing Education	01/01/2026

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	11/03/2025
B	Connecticut	Agent	Approved	11/03/2025
B	Delaware	Agent	Approved	11/03/2025
B	District of Columbia	Agent	Approved	11/03/2025
B	Florida	Agent	Approved	11/04/2025
B	Illinois	Agent	Approved	11/03/2025
B	Maryland	Agent	Approved	11/03/2025
B	Massachusetts	Agent	Approved	11/03/2025
B	New Hampshire	Agent	Approved	11/03/2025
B	New Jersey	Agent	Approved	11/03/2025
B	New York	Agent	Approved	11/03/2025

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	11/03/2025
B	South Dakota	Agent	Approved	11/03/2025
B	Vermont	Agent	Approved	11/03/2025
B	Virginia	Agent	Approved	11/03/2025

Branch Office Locations

INTEGRITY ALLIANCE, LLC.
485 Lexington Avenue
Suite 1700
New York, NY 10017

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	10/26/1994

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	10/26/1994

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

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

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	05/2023 - 11/2025	LION STREET FINANCIAL, LLC	165828	New York, NY
B	04/2018 - 06/2023	EQUITABLE ADVISORS, LLC	6627	NEW YORK, NY
B	03/2017 - 04/2018	MML INVESTORS SERVICES, LLC	10409	NEW YORK, NY
B	04/2015 - 03/2017	MSI FINANCIAL SERVICES, INC.	14251	NEW YORK, NY
B	06/2005 - 05/2015	AXA ADVISORS, LLC	6627	NEW YORK, NY
B	11/2004 - 04/2015	NFP ADVISOR SERVICES, LLC	42046	NEW YORK, NY
B	04/1999 - 06/2005	MONY SECURITIES CORPORATION	4386	NEW YORK, NY
B	10/1994 - 01/2000	MUTUAL SERVICE CORPORATION	4806	BOSTON, MA
B	09/1997 - 04/1999	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B	09/1997 - 04/1999	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
11/2025 - Present	INTEGRITY ALLIANCE, LLC.	Mass Transfer	Y	New York, NY, United States
05/2023 - Present	Lion Street Financial	Registered Representative	Y	New York, NY, United States
07/1984 - Present	NATIONAL MADISON GROUP, INC.	PRESIDENT	N	NEW YORK, NY, United States
04/2018 - 05/2023	EQUITABLE ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2018 - 06/2020	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
03/2017 - 04/2018	MML INVESTORS SERVICES, LLC	Registered Representative	Y	NEW YORK, NY, United States
07/2016 - 04/2018	Mass Mutual Life Insurance Company	Agent	Y	New York, NY, United States
04/2015 - 03/2017	MSI Financial Securities Inc.	FSR	Y	NEW YORK, NY, United States
04/2015 - 06/2016	Metropolitan Life Insurance Company	Agent	Y	New York, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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)NATIONAL MADISON GROUP, INC.
POSITION: Owner NATURE: Life insurance sales and services.No new activity, only receipt of renewal commissions from prior sales.
INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 07/25/1984
ADDRESS: PO Box 311, 48 Dinah Rock Road, Shelter Island Heights NY 11965, United States
DESCRIPTION: Depositing checks, payingfor services such as internet, telephone, etc.
Making sure that applicable tax filings are prepared and filed.
2)PACTOLUS LLC
POSITION: sole member NATURE: This is a management company that was created when National Madison Group, Inc. ("NMG") was acquired by NFP in 2003. It is entitled to 70% of the revenue of NMG. It was maintained after NMG was purchased from NFP in 2015 because of my divorce agreement. My ex-wife having died in January 2023, I am consulting with my tax advisors about terminating this entity. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2003
ADDRESS: PO Box 311, 48 Dinah Rock Road, Shelter Island Heights NY 11965, United States
DESCRIPTION: None currently
3)PEDIMENT GLOBAL ADVISORS, INC.
POSITION: Owner NATURE: After the Tax Act of 2017, my lawyer advised creating this corporation to take advantage of the lower 21% corporate rate. The company is inactive except for the receipt of renewal commissions from prior fixed life insurance sales. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 04/13/2018
ADDRESS: PO Box 311, 48 Dinah Rock Road, Shelter Island Heights NY 11965, United States
DESCRIPTION: Depositing revenue and making sure that income tax returns are prepared and filed.
4)RISK STRATEGIES COMPANY
POSITION: Employee NATURE: Sales and service of non-securities life insurance products. INVESTMENT RELATED: No NUMBER OF HOURS: 250 SECURITIES TRADING HOURS: 200 START DATE: 05/30/2023
ADDRESS: 750 Third Avenue, Suite 1500, New York NY 10017, United States
DESCRIPTION: My title is Senior Vice President, Life Practice.

Registration and Employment History

Other Business Activities, continued

I assist the non-life insurance brokers, e.g., personal lines property and casualty or commercial lines, with providing life insurance sales and/or services to their clients. Most of these matters involve non-securities life insurance products.
5)SAM RADIN, INDIVIDUALLY
POSITION: Consultant NATURE: Provide expert knowledge concerning the life insurance sales process and ongoing licensing requirements, including appropriate market conduct such as replacement regulations and NY Reg 187.
My background as an attorney is considered to be important, although I will not be giving legal advice or practicing law. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 09/17/2024
ADDRESS: PO Box 311, 48 Dinah Rock Road, Shelter Island Heights NY 11965, United States
DESCRIPTION: Educate lawyers about the requirements to be able to sell life insurance and annuity products to sophisticated clients. The purpose is to enable the lawyers to have sufficient knowledge so that they can evaluate claims and/or question witnesses.
I would be retained by a law firm so that my communications would be privileged and confidential.

End of Report

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