

BrokerCheck Report

ROGER EDWIN SULHOFF

CRD# 1057321

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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.

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:
 - o 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
 - o 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.

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.

**ROGER E. SULHOFF**

CRD# 1057321

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

IA AMERIPRISE FINANCIAL SERVICES, LLC
 329 Oak St Ste 202
 Gainesville, GA 30501
 CRD# 6363
 Registered with this firm since: 10/28/2019

B AMERIPRISE FINANCIAL SERVICES, LLC
 329 Oak St Ste 202
 Gainesville, GA 30501
 CRD# 6363
 Registered with this firm since: 10/28/2019

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
- 20 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- IA THE STRATEGIC FINANCIAL ALLIANCE**
 CRD# 126514
 ATLANTA, GA
 07/2010 - 10/2019
- B THE STRATEGIC FINANCIAL ALLIANCE, INC.**
 CRD# 126514
 GAINESVILLE, GA
 06/2010 - 10/2019
- IA ONEAMERICA SECURITIES, INC.**
 CRD# 4173
 INDIANAPOLIS, IN
 04/2003 - 07/2010

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	4

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 20 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**

Main Office Address: **9013RD AVENUE SOUTH
MINNEAPOLIS, MN 55402**

Firm CRD#: **6363**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/28/2019
B	FINRA	General Securities Representative	Approved	10/28/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	10/28/2019
B	FINRA	Investment Co./Variable Contracts Prin	Approved	10/28/2019

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/30/2019
B	Arizona	Agent	Approved	10/28/2019
B	California	Agent	Approved	02/03/2020
B	Colorado	Agent	Approved	11/05/2019
B	Delaware	Agent	Approved	01/30/2023
B	Florida	Agent	Approved	10/28/2019
B	Georgia	Agent	Approved	10/30/2019
IA	Georgia	Investment Adviser Representative	Approved	10/30/2019
B	Idaho	Agent	Approved	05/22/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	12/10/2019
B	Kansas	Agent	Approved	06/16/2021
B	Louisiana	Agent	Approved	11/15/2024
B	Maryland	Agent	Approved	01/19/2024
B	Montana	Agent	Approved	08/03/2021
B	North Carolina	Agent	Approved	11/06/2019
B	Ohio	Agent	Approved	11/05/2020
B	South Carolina	Agent	Approved	11/05/2019
B	Tennessee	Agent	Approved	10/15/2020
B	Texas	Agent	Approved	10/28/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	10/28/2019
B	Utah	Agent	Approved	11/13/2019
B	Virginia	Agent	Approved	10/31/2019

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

329 Oak St Ste 202
Gainesville, GA 30501

AMERIPRISE FINANCIAL SERVICES, LLC

Jasper, GA



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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	05/21/1999
B Investment Company Products/Variable Contracts Principal Examination	Series 26	02/08/1988

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/17/1999
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/02/1982

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/04/1999
B Uniform Securities Agent State Law Examination	Series 63	08/03/1982

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
IA 07/2010 - 10/2019	THE STRATEGIC FINANCIAL ALLIANCE	126514	GAINESVILLE, GA
B 06/2010 - 10/2019	THE STRATEGIC FINANCIAL ALLIANCE, INC.	126514	GAINESVILLE, GA
IA 04/2003 - 07/2010	ONEAMERICA SECURITIES, INC.	4173	GAINESVILLE, GA
B 05/2002 - 07/2010	ONEAMERICA SECURITIES, INC.	4173	GAINESVILLE, GA
IA 06/2010 - 07/2010	THE STRATEGIC FINANCIAL ALLIANCE	126514	GAINESVILLE, GA
B 08/2000 - 06/2002	AMERICAN GENERAL SECURITIES INCORPORATED	13626	PHOENIX, AZ
B 04/1995 - 08/2000	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ
B 10/1992 - 04/1995	IFG NETWORK SECURITIES, INC.	19948	ATLANTA, GA
B 01/1991 - 12/1992	PLANNED INVESTMENTS INC.	5066	ATLANTA, GA
B 09/1990 - 12/1991	IFG NETWORK SECURITIES, INC.	19948	ATLANTA, GA
B 08/1982 - 09/1990	FIRST AMERICAN NATIONAL SECURITIES, INC.	10111	DULUTH, GA

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
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Gainesville, GA, United States
10/2019 - 03/2020	Ameriprise Financial Services, Inc.	Registered Representative	Y	Gainesville, GA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2010 - 10/2019	THE STRATEGIC FINANCIAL ALLIANCE, INC.	REGISTERED REP / IAR	Y	ATLANTA, GA, United States
05/2002 - 10/2019	PRIVATE CLIENT ADVISORY, INC.	FAMILY WEALTH COUNSEL	N	GAINESVILLE, GA, 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.

Business Ownership; NancyE III, LLC; managing member,a single person LLC.; services, rentals.; Circle of Light Drive, , Gainesville, GA, 30506; Not Investment-Related; 12/28/2015; 1 to 9 hours per month; 0 during trading hours / Yachtsman Capital Resources; single owner.; a pass through corp to manage tax reporting on expenses.Also, hold a real estate parcel. Used as a personal estate planning tool, also.; 6051 circle of light drive, , gainesville, GA, 00000; Not Investment-Related; 12/20/2007; 1 to 9 hours per month; 0 during trading hours / NancyE IV, LLC; Owner; NancyE IV, LLC Georgia corp. (Very similar to existing LLC; NancyE III. charter rental of my sailboat through a professional charter and vessel management company. primary goal is for personal recreation with expenses of owning and maintaining boat covered by a professional services company from charter operations. ; 12093 Big Canoe, , Big Canoe , GA, 30143; Not Investment-Related; 07/12/2023; 1 to 9 hours per month; 0 during trading hours.

Disclosure Events



What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	4	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ONEAMERICA SECURITIES, INC
Allegations:	ALLEGE THAT THE REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS AND MISREPRESENTED THE CHARACTERISTICS OF TENANT IN COMMON
Product Type:	Real Estate Security
Alleged Damages:	\$100,001.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DISPUTE RESOLUTION
Docket/Case #:	14-01101
Filing date of arbitration/CFTC reparation or civil litigation:	05/11/2014

Customer Complaint Information

Date Complaint Received: 05/16/2014



Complaint Pending? No

Status: Settled

Status Date: 11/17/2015

Settlement Amount: \$58,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ONEAMERICA SECURITIES, INC

Allegations: ALLEGE THAT THE REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS AND MISREPRESENTED THE CHARACTERISTICS OF TENANT IN COMMON

Product Type: Real Estate Security

Alleged Damages: \$100,001.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA DISPUTE RESOLUTION

Docket/Case #: 14-01101

Filing date of arbitration/CFTC reparation or civil litigation: 05/11/2014

Customer Complaint Information

Date Complaint Received: 05/16/2014

Complaint Pending? No

Status: Settled

Status Date: 11/17/2015



Settlement Amount: \$58,000.00

Individual Contribution Amount: \$0.00

Broker Statement REPRESENTATIVE DISAGREES THAT TIC WAS UNSUITABLE. CLIENT WAS EXPERIENCED IN THE REAL ESTATE BUSINESS AND HAD BEEN REFERRED TO REPRESENTATIVE BY HIS ATTORNEY. THE TIC HAS NOT PERFORMED AS ANTICIPATED RESULTING IN CLIENT'S COMPLAINT. REPRESENTATIVE FOLLOWED ALL THE FIRM'S PROCEDURES FOR OFFERING SUCH PRODUCTS. CLIENT RECEIVED ALL OFFERING MATERIALS, WHICH DISCLOSED RISKS ASSOCIATED WITH THE INVESTMENT.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ONEAMERICA SECURITIES, INC.

Allegations: ALLEGATIONS ALLEGES THAT THE REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS AND MISREPRESENTED THE CHARACTERISTICS OF TENANCIES IN COMMON (TICS) AND DELAWARE STATUTORY TRUST(DSTS) INVESTMENTS.

Product Type: Real Estate Security

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): ALLEGED DAMAGES COULD NOT BE DETERMINED AT THIS TIME.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA DISPUTE RESOLUTION

Docket/Case #: 13-00476

Filing date of arbitration/CFTC reparation or civil litigation: 02/14/2013



Customer Complaint Information

Date Complaint Received: 03/04/2013

Complaint Pending? No

Status: Settled

Status Date: 06/27/2014

Settlement Amount: \$500,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ONEAMERICA SECURITIES, INC.

Allegations: CLIENT ALLEGES THAT THE REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS AND MISREPRESENTED THE CHARACTERISTICS OF TENANCIES IN COMMON (TICS) AND DELAWARE STATUTORY TRUSTS (DSTS) INVESTMENTS.

Product Type: Real Estate Security

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): EMPLOYING FIRM COULD NOT DETERMINE ALLEGED DAMAGES AT THIS TIME.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA DISPUTE RESOLUTION

Docket/Case #: 13-00476

Filing date of arbitration/CFTC reparation or civil litigation: 02/14/2013



Customer Complaint Information

Date Complaint Received:	03/04/2013
Complaint Pending?	No
Status:	Settled
Status Date:	06/27/2014
Settlement Amount:	\$500,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	ONEAMERICA SETTLED THE CASE BUT THE REPRESENTATIVE DID NOT PARTICIPATE IN THE SETTLEMENT. REPRESENTATIVE DENIES TRANSACTION WAS UNSUITABLE, HE PROVIDED CLIENT WITH ALL OFFERING DOCUMENTS WHICH INCLUDED RISK DISCLOSURES, AND FOLLOWED ALL FIRM PROCEDURES.

Disclosure 3 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ONEAMERICA SECURITIES, INC
Allegations:	CUSTOMER'S INVESTMENT PORTFOLIO WAS DESIGNED IN JUNE 2002 FOR GROWTH AND INCOME. CUSTOMER'S ACTUAL EXPENDITURES FROM JUNE 2002 TO JUNE 2007 EXCEEDED INCOME PROVIDED BY THE PORTFOLIO
Product Type:	Other
Other Product Type(s):	SEPERATE MANGAGED ACCOUNTS UNDER THIRD PARTY INVESTMENT MANAGER- VARIABLE ANNUITY, VARIABLE LIFE INSURANCE AND REAL ESTATE TRUSTS AND PARTNERSHIPS.
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	02/11/2008
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/11/2008
Settlement Amount:	

**Individual Contribution
Amount:****Arbitration Information**

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** FINRA CASE #: 03-00337

Date Notice/Process Served: 02/11/2008

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/27/2009

**Monetary Compensation
Amount:** \$300,000.00

**Individual Contribution
Amount:** \$150,000.00

Broker Statement

CUSTOMER SPENDING FAR EXCEEDED PLANNED AMOUNTS.
REPRESENTATIVE INFORMED CUSTOMER ON A CONTINUOUS BASIS HE
COULD NOT TAKE DISCRETIONARY AUTHORITY OF HER MONEY.

WITH REGARD TO THE AMOUNT SOUGHT BY PLAINTIFF, NO SPECIFIC
AMOUNT HAS BEEN CLAIMED AND, AFTER INVESTIGATION, NO SPECIFIC
AMOUNT HAS BEEN IDENTIFIED



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SUNAMERICA SECURITIES, INC.

Allegations: CLIENT ALLEGES SHE DID NOT KNOW SHE WOULD BE ASSESSED FEES/PENALTIES IF SHE LIQUIDATED FUNDS SHE WAS INVESTED IN.

Product Type: Mutual Fund(s)

Other Product Type(s): ANNUITY

Alleged Damages: \$8,382.05

Customer Complaint Information

Date Complaint Received: 07/16/2001

Complaint Pending? No

Status: Denied

Status Date: 09/14/2001

Settlement Amount:

Individual Contribution Amount:

Firm Statement CLIENT RECEIVED DISCLOSURE REGARDING ALL FEES AND CHARGES ASSOCIATED WITH INVESTMENTS.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SUNAMERICA SECURITIES, INC.

Allegations: CLIENT REQUESTS REIMBURSEMENT IN AMOUNT OF \$8,382.06 FOR REFUND OF CONTINGINET DEFERRED SALES CHARGE ON "B" AND "C" SHARE MUTUAL FUNDS REDEEMED DURING CDSC PERIOD DURING



MARCH AND APRIL OF YEAR 2000.

Product Type: Mutual Fund(s)

Alleged Damages: \$8,382.06

Customer Complaint Information

Date Complaint Received: 01/19/2001

Complaint Pending? No

Status: Denied

Status Date: 09/14/2001

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement CLIENT RECEIVED DISCLOSURE REGARDING ALL FEES AND CHARGES
ASSOCIATED WITH INVESTMENTS.

End of Report



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