

BrokerCheck Report

JAMES PATRICK ROBERTSON

CRD# 1082420

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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.

**JAMES P. ROBERTSON**

CRD# 1082420

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

IA AMERIPRISE FINANCIAL SERVICES, LLC
 2001 Timberloch Pl, Ste 500
 Spring, TX 77380
 CRD# 6363
 Registered with this firm since: 04/23/2024

B AMERIPRISE FINANCIAL SERVICES, LLC
 2001 Timberloch Pl, Ste 500
 Spring, TX 77380-1375
 CRD# 6363
 Registered with this firm since: 04/23/2024

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
- 16 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA OSAIC WEALTH, INC.**
 CRD# 23131
 SCOTTSDALE, AZ
 09/2023 - 04/2024
- B OSAIC WEALTH, INC.**
 CRD# 23131
 SPRING, TX
 09/2023 - 04/2024
- IA SAGEPOINT FINANCIAL, INC.**
 CRD# 133763
 PHOENIX, AZ
 08/2010 - 09/2023

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	1
Termination	2



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 16 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 Representative	Approved	04/23/2024

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	04/23/2024
B	Florida	Agent	Approved	04/23/2024
B	Georgia	Agent	Approved	04/25/2024
IA	Georgia	Investment Adviser Representative	Approved	04/25/2024
B	Illinois	Agent	Approved	05/03/2024
B	Indiana	Agent	Approved	04/23/2024
B	Iowa	Agent	Approved	12/02/2024
B	Mississippi	Agent	Approved	04/23/2024
B	Montana	Agent	Approved	04/23/2024
B	New York	Agent	Approved	04/23/2024
B	North Carolina	Agent	Approved	05/01/2024
B	Ohio	Agent	Approved	04/23/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Oklahoma	Agent	Approved	09/16/2024
B	South Carolina	Agent	Approved	04/23/2024
B	Texas	Agent	Approved	04/23/2024
IA	Texas	Investment Adviser Representative	Approved	04/23/2024
B	Utah	Agent	Approved	04/23/2024
B	Washington	Agent	Approved	04/23/2024

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

2001 Timberloch Pl, Ste 500
Spring, TX 77380-1375

AMERIPRISE FINANCIAL SERVICES, LLC

506 W Jones St
Savannah, GA 31401-3114

AMERIPRISE FINANCIAL SERVICES, LLC

Spring, TX



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, 3 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 General Securities Representative Examination	Series 7	05/17/2000
B Investment Company Products/Variable Contracts Representative Examination	Series 6	02/18/1983

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/20/1983

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 09/2023 - 04/2024	OSAIC WEALTH, INC.	23131	SPRING, TX
IA 09/2023 - 04/2024	OSAIC WEALTH, INC.	23131	SPRING, TX
IA 08/2010 - 09/2023	SAGEPOINT FINANCIAL, INC.	133763	SPRING, TX
B 08/2010 - 09/2023	SAGEPOINT FINANCIAL, INC.	133763	SPRING, TX
IA 10/2006 - 08/2010	LPL FINANCIAL CORPORATION	6413	SHENANDOAH, TX
B 07/2006 - 08/2010	LPL FINANCIAL CORPORATION	6413	SHENANDOAH, TX
IA 06/2000 - 06/2006	RAYMOND JAMES FINANCIAL SERVICES	6694	CONROE, TX
B 06/2000 - 06/2006	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	CONROE, TX
B 01/1999 - 06/2000	COMPASS BROKERAGE, INC.	17086	BIRMINGHAM, AL
B 07/1995 - 01/1999	NEW ENGLAND SECURITIES	615	NEW YORK, NY
B 09/1994 - 07/1995	MML INVESTORS SERVICES, INC.	10409	SPRINGFIELD, MA
B 02/1983 - 09/1994	NEW ENGLAND SECURITIES	615	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
04/2024 - Present	Ameriprise Financial Services, LLC	Registered Representative	Y	Spring, TX, United States
09/2023 - 04/2024	OSAIC WEALTH, INC.	Mass Transfer	Y	SPRING, TX, United States
08/2010 - 09/2023	SAGEPOINT FINANCIAL, INC	REGISTERED REPRESENTATIVE	Y	PHOENIX, AZ, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
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. Real Estate Ownership; Single Family; 2610 Athis St., , New Orleans, LA, 70122; Investment-Related; 05/21/2021 / Single Family; 1911 Whitemarsh Way, , Savannah, GA, 31410; Not Investment-Related; 05/15/2021. Independent Insurance Brokering; Corebridge; 07/01/2010; Universal Life, Disability Income, Whole Life, Fixed Annuity, Group, Term Life, Health. Business Ownership; Mint Private Client Group Pllc; Owner; Manage Ameriprise Business; 2001 Timberloch Pl, Suite 500, Spring, TX, 77380; Not Investment-Related; 07/01/2012; 1 to 9 hours per month; 1 to 9 during trading hours. Board of Directors; Westwood Magnolia Improvement District; Director; 32935 Tamina RD #104, , Magnolia , TX, 77354; Not Investment-Related; 07/01/2018; 1 to 9 hours per month; 1 to 9 during trading hours. Outside Employment; Mint Private Client Group Pllc.; Owner; Manage advisory business; 2001 Timberloch Pl, , Spring, TX, 77380; Investment-Related; 01/01/2012; 40 to 59 hours per month; 20 to 39 during trading hours. Other Business Activities; Expert Witness; Present Value Calculations for Structured Settlement Transfers ; 2001 Timberloch Pl, Suite 500, Spring, TX, 77380; Not Investment-Related; 07/01/2012; 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	1	N/A
Termination	N/A	2	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 - 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:	COMPASS BROKERAGE, INC.
Allegations:	CUSTOMER PURCHASED A VARIABLE ANNUITY CONTRACT IN MARCH, 2000. CUSTOMER ALLEGES THAT THE PRODUCT WAS UNSUITABLE, AND A CERTAIN RATE OF RETURN WAS GUARANTEED.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$16,258.81

Customer Complaint Information

Date Complaint Received:	01/30/2001
Complaint Pending?	No
Status:	Denied
Status Date:	03/15/2001
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THE CONTRACT APPLICATION AND CUSTOMER PROFILE FORM DISCLOSED THE CHARACTERISTICS OF THIS ANNUITY, AND A NEEDS



ANALYSIS AND INVESTMENT TIME HORIZON CONSISTANT WITH THE INVESTMENT SELECTION. BOTH WERE SIGNED BY THE CUSTOMER. UPON REVIEW, THE FIRM ELECTED TO DENY THIS COMPLAINT.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: COMPASS BROKERAGE, INC.

Allegations: CUSTOMER PURCHASES A VARIABLE ANNUITY CONTRACT IN MARCH 2000. CUSTOMER ALLEGES THAT THE PRODUCT WAS UNSUITABLE AND A CERTAIN RATE OF RETURN WAS GUARANTEED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$16,258.81

Customer Complaint Information

Date Complaint Received: 01/30/2001

Complaint Pending? No

Status: Denied

Status Date: 03/15/2001

Settlement Amount:

Individual Contribution Amount:



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm
Employer Name: LPL FINANCIAL
Termination Type: Discharged
Termination Date: 07/20/2010
Allegations: TERMINATED FOR CAUSE FOR SUBMITTING CUSTOMER FORMS WITHOUT LEGITIMATE CUSTOMER SIGNATURES.
Product Type: No Product

Reporting Source: Broker
Employer Name: LPL FINANCIAL
Termination Type: Discharged
Termination Date: 07/20/2010
Allegations: TERMINATED FOR CAUSE FOR SUBMITTING CUSTOMER FORMS WITHOUT LEGITIMATE CUSTOMER SIGNATURES.
Product Type: No Product

Broker Statement I SUBMITTED COPIES OF CUSTOMER-SIGNED LETTERS OF NON-SOLICITATION FORMS, ENTERED TRADE INFORMATION ON THE NEW FORM & PLACED THE ORIGINALLY- SIGNED FORM IN THE CUSTOMERS FILE. I REALIZE NOW THAT I DID NOT UNDERSTAND THE REQUIREMENTS TO SUBMIT FORMS WITH ORIGINAL SIGNATURES. FINRA REVIEWED THE CIRCUMSTANCES (FINRA # 20100239466), NOTING THAT THIS "WAS DONE AS AN APPARENT ACCOMODATION TO THE CUSTOMER, WHO DID NOT COMPLAIN, WAS NOT HARMED, AND COMPLETED THE TRANSACTION."

Disclosure 2 of 2

Reporting Source: Broker
Employer Name: RAYMOND JAMES FINANCIAL SERVICES
Termination Type: Discharged



Termination Date: 06/08/2006

Allegations: POTENTIAL SELLING AWAY, BLANK SIGNED LOA. 1.) EMPLOYM'T CONTRACT GAVE FA APPROVAL TO SERVICE FORMER VAR. ANN. CLIENT WHO ASKED FA TO HELP MOVE \$10K TO EXISTING VA HELD BY FA'S FORMER EMPLOYER. FA/CLIENT COMPLETED FORMS TO SELL NON-RJFS MF SHARES AND MOVE FUNDS. FA REASONABLY BELIEVED SUPERVISORY SIGNOFF UNNECESSARY. TRANSACTION NEVER COMPLETED. 2.) CLIENT SIGNED BLANK LOA TO OPEN NEW ACCOUNT. FORMS GIVEN TO ASS'T TO COMPLETE PROCESS BUT LOA TAKEN FROM ASS'T NEXT BUSINESS DAY BY OSJ BEFORE PROCESS COMPLETED.

Product Type: No Product

Broker Statement THE INITIAL FORM U5 FILED BY RJFS INDICATED THAT I WAS TERMINATED BECAUSE OF "POTENTIAL SELLING AWAY, BLANK SIGNED LOA". THERE WAS NO SELLING AWAY BECAUSE MY RJFS EMPLOYMENT AGREEMENT PERMITTED ME TO SERVICE MY ANNUITY ACCOUNTS AT MY PREVIOUS BROKER DEALER WITHOUT RJFS OSJ SUPERVISORY SIGNOFF. THE TRANSACTION (APRIL 2006) WAS NOT COMPLETED BECAUSE THE OTHER BROKER DEALER RETURNED THE EXECUTED FORMS TO RJFS. IN MAY 2006 A CLIENT WANTED TO TRANSFER MONEY FROM HIS IRA TO HIS CHECKING ACCOUNT AND WAS ASKED TO COMPLETE AND SIGN A LOA. THE CLIENT SIGNED THE FORM BUT DID NOT FILL IT OUT. THE FORM WAS GIVEN TO MY ASSISTANT TO COMPLETE BUT WAS CONFISCATED FROM HER BY THE BRANCH MANAGER BEFORE THE PROCESS WAS COMPLETED. AS A RESULT OF THE LANGUAGE PLACED ON THE INITIAL FORM U5 (JUNE 2006), MY PERSONAL AND PROFESSIONAL REPUTATION AS WELL AS MY ECONOMIC INTERESTS WERE SEVERLY DAMAGED. I FILED A CLAIM IN ARBITRATION AGAINST RJFS (FINRA DR #12-01755). THE ARBITRATORS FOUND THAT (1) THE U5 LANGUAGE WAS "INCOMPLETE, MISLEADING, AMBIGUOUS AND DEFAMATORY", AND (2) THE DEFAMATORY LANGUAGE AND RJFS'S "REFUSAL TO AMEND THE U5 WAS BOTH NEGLIGENT AND RECKLESS". THE ARBITRATORS AWARDED ME COMPENSATORY DAMAGES, INTEREST, AND REIMBURSEMENT FOR THE NON-REFUNDABLE PORTION OF FILING FEES. FURTHER, THE ARBITRATORS REQUIRED RJFS TO AMEND THE U5 WITH THE LANGUAGE NOW IN ITEM 4 ABOVE AND RECOMMENDED EXPUNGEMENT OF THEIR INITIAL RESPONSE TO ITEM 4. THE ARBITRATORS RECOMMENDED THAT I BE PERMITTED TO AMEND MY COMMENTS ON THE U5 TO MAKE APPROPRIATE REFERENCES TO THEIR AWARD.

End of Report



This page is intentionally left blank.