

BrokerCheck Report

JAMES PATRICK FOLEY

CRD# 1425205

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



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. FOLEY**

CRD# 1425205

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

IA AMERIPRISE FINANCIAL SERVICES, LLC
 1200 Abernathy Rd Ste 1750
 Atlanta, GA 30328
 CRD# 6363
 Registered with this firm since: 03/01/2019

B AMERIPRISE FINANCIAL SERVICES, LLC
 1200 Abernathy Rd Ste 1750
 Atlanta, GA 30328-5662
 CRD# 6363
 Registered with this firm since: 03/01/2019

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
- 23 U.S. states and territories

This broker has passed:

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

Registration History

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

- B WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 ATLANTA, GA
 01/2008 - 03/2019
- IA WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 ST. LOUIS, MO
 01/2008 - 03/2019
- B A. G. EDWARDS & SONS, INC.**
 CRD# 4
 ATLANTA, GA
 11/1992 - 01/2008

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
Regulatory Event	1
Customer Dispute	1
Termination	1

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 23 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	03/01/2019
B	FINRA	General Securities Sales Supervisor	Approved	03/01/2019

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/07/2020
B	Arizona	Agent	Approved	03/01/2019
B	California	Agent	Approved	01/03/2020
B	Colorado	Agent	Approved	01/06/2020
B	Delaware	Agent	Approved	03/14/2025
B	Florida	Agent	Approved	03/01/2019
B	Georgia	Agent	Approved	03/05/2019
IA	Georgia	Investment Adviser Representative	Approved	03/05/2019
B	Idaho	Agent	Approved	03/04/2019
B	Maryland	Agent	Approved	01/03/2020
B	Mississippi	Agent	Approved	03/06/2019



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Missouri	Agent	Approved	01/16/2020
B	Nevada	Agent	Approved	07/08/2024
B	New Hampshire	Agent	Approved	09/25/2024
B	New Jersey	Agent	Approved	01/08/2020
B	New Mexico	Agent	Approved	07/24/2020
B	New York	Agent	Approved	03/01/2019
B	North Carolina	Agent	Approved	03/08/2019
B	Pennsylvania	Agent	Approved	03/01/2019
IA	Pennsylvania	Investment Adviser Representative	Approved	09/02/2025
B	South Carolina	Agent	Approved	01/07/2020
B	Tennessee	Agent	Approved	03/01/2019
B	Texas	Agent	Approved	03/01/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	03/01/2019
B	Virginia	Agent	Approved	03/01/2019
B	Washington	Agent	Approved	01/03/2020

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

1200 Abernathy Rd Ste 1750
Atlanta, GA 30328-5662

AMERIPRISE FINANCIAL SERVICES, LLC

Atlanta, GA

AMERIPRISE FINANCIAL SERVICES, LLC

Broker Qualifications



Employment 1 of 1, continued

Mountain Top, PA



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	03/29/2000
B General Securities Sales Supervisor - Options Module Examination	Series 9	03/29/2000

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/19/1985

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/14/2003
IA Uniform Investment Adviser Law Examination	Series 65	08/09/1993
B Uniform Securities Agent State Law Examination	Series 63	10/30/1985

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 01/2008 - 03/2019	WELLS FARGO CLEARING SERVICES, LLC	19616	ATLANTA, GA
IA 01/2008 - 03/2019	WELLS FARGO CLEARING SERVICES, LLC	19616	ATLANTA, GA
B 11/1992 - 01/2008	A. G. EDWARDS & SONS, INC.	4	ATLANTA, GA
IA 11/2003 - 01/2008	A. G. EDWARDS & SONS, INC.	4	ATLANTA, GA
B 06/1986 - 11/1992	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B 10/1985 - 06/1986	BLINDER, ROBINSON & CO.,INC.	5096	

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	Atlanta, GA, United States
03/2019 - 03/2020	AMERIPRISE FINANCIALSERVICES, INC	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, United States
11/2016 - 03/2019	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	ATLANTA, GA, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	ATLANTA, 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.

Real Estate Ownership; Single Family; 59 w Hartford stAshley pa 18706, ; Investment-Related; 02/01/2016 / Commercial; 163 N main stMt. top pa 18707, ; Investment-Related; 11/01/2018. Business Ownership; Ridgeview LLC; investor; real estate investment; 7640 Brigham DrAtlanta Ga 30350, ; Investment-Related; 04/01/2018; 0 hours per month; 0 during trading hours / Cavanaugh's Grille; owner; restaurant; 163 N Main StMt.

Registration and Employment History



Other Business Activities, continued

Top Pa 18707, ,; Investment-Related; 12/01/2018; 1 to 9 hours per month; 0 during trading hours / MNL, LLC; Owner; Real Estate; 163 N Main St, , Mountain Top, PA, 18707; Investment-Related; 09/26/2018; 1 to 9 hours per month; 0 during trading hours. Outside Employment; Emory University; professor - teach a class; ; Clifton RdAtlanta Ga, ,; Not Investment-Related; 01/01/2005; 1 to 9 hours per month; 0 during trading hours / marist school; coach - coach basketball; ; ashford Dunwoody rdatlanta ga 30319, ,; Not Investment-Related; 10/01/2005; 10 to 19 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
Regulatory Event	0	1	0
Customer Dispute	0	1	N/A
Termination	N/A	1	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/13/1993
Docket/Case Number:	07930021-AWC
Employing firm when activity occurred which led to the regulatory action:	PAINWEBBER
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/13/1993
Sanctions Ordered:	Censure Monetary/Fine \$10,000.00



Suspension

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

ON AUGUST 13, 1993, DISTRICT NO. 7 NOTIFIED JAMES P. FOLEY THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C07930021 WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR TWO WEEKS - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT FOLEY COMPLETED AN APPLICATION ON BEHALF OF A PUBLIC CUSTOMER FOR THE PURCHASE OF A \$125,000 ANNUITY WITHOUT THE KNOWLEDGE OR AUTHORIZATION OF THE CUSTOMER AND SIGNED THE CUSTOMER'S SIGNATURE ON THE APPLICATION IN ORDER TO FACILITATE THE PURCHASE).

PRESS RELEASE OCTOBER 1993: THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS OCTOBER 18, 1993 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS OCTOBER 29 , 1993.

\$10,000 FULLY PAID AS OF 12/23/94 INVOICE #93-07-649

Reporting Source:

Firm

Regulatory Action Initiated By:

DISTRICT BUSINESS CONDUCT COMMITTEE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:

08/13/1993

Docket/Case Number:

07930021-AWC

Employing firm when activity occurred which led to the regulatory action:

PAINWEBBER

Product Type:

Other Product Type(s):



Allegations: ALLEGED THAT 8/31/92 (APPROX.) MR. FOLEY COMPLETED ON BEHALF OF A CUSTOMER AN APPLICATION FOR THE PURCHASE OF \$125K OF A PW ADVANTAGE ANNUITY W/O THE KNOWLEDGE/CONSENT OF SAID CUSTOMER & IN ORDER TO FACILITATE SAID PURCHASE SIGNED THE CUSTOMER'S SIGNATURE ON THE APPLICATION.

Current Status: Final

Resolution: Consent

Resolution Date: 08/13/1993

Sanctions Ordered: Censure
Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: PURSUANT TO A LETTER OF ACCEPTANCE, WAIVER & CONSENT MR. FOLEY AGREED TO A CENSURE, FINE OF \$10K & A SUSPENSION FROM THE ASSOCIATION FOR A PERIOD OF 2-WKS.

Firm Statement Not Provided

Reporting Source: Broker

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 08/13/1993

Docket/Case Number: 07930021-AWC

Employing firm when activity occurred which led to the regulatory action: PAINWEBBER

Product Type:

Other Product Type(s):

Allegations: IT IS ALLEGED THAT I VIOLATED ARTICLE III, SECTION I OF THE NASD'S RULES OF FAIR PRACTICE.
7a. What is the product? PAINWEBBER ADVANTAGE ANNUITY



Current Status:	Final
Resolution:	Consent
Resolution Date:	08/13/1993
Sanctions Ordered:	Censure Monetary/Fine \$10,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	I CONSENTED TO A SANCTION OF A CENSURE, A FINE OF \$10,000 AND A SUSPENSION OF TWO WEEKS. THIS IS IN CONNECTION WITH MY TERMINATION FROM PAINWEBBER.
Broker Statement	NOT PROVIDED 9a. What firm did the transaction take place? PAINWEBBER



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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLAIMANT ALLEGES MISREPRESENTATION RELATED TO A REAL ESTATE INVESTMENT THAT OCCURRED IN AUGUST 2007. CLAIMANT REQUESTS DAMAGES OF AN UNSPECIFIED AMOUNT, BUT NOT LESS THAN \$400,000.
Product Type:	No Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT REQUESTS DAMAGES OF AN UNSPECIFIED AMOUNT, BUT NOT LESS THAN \$400,000.

Customer Complaint Information

Date Complaint Received:	12/29/2011
Complaint Pending?	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-04661
Date Notice/Process Served:	12/29/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/07/2013



Monetary Compensation Amount:	\$145,000.00
Individual Contribution Amount:	\$43,000.00
Broker Statement	I DENY ALL ALLEGATIONS MENTIONED IN THE COMPLAINT.\n****WITHOUT ADMITTING ANY LIABILITY, THE FIRM SETTLED THE MATTER FOR \$145,000.00. THE FA-- JAMES PATRICK FOLEY WILL CONTRIBUTE \$43,000.00 TOWARDS SETTLEMENT PAYMENT.



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 1

Reporting Source:	Broker
Employer Name:	PAINWEBBER
Termination Type:	Discharged
Termination Date:	10/28/1992
Allegations:	N/A SIGNED CLIENT NAME TO AN APPLICATION - NEITHER FIRM NOR CUSTOMER SUFFERED A LOSS
Product Type:	
Other Product Types:	
Broker Statement	TERMINATION Not Provided

End of Report



This page is intentionally left blank.