

## BrokerCheck Report

**BRADLEY LEO RENBERG**

CRD# 2155253

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**BRADLEY L. RENBERG**

CRD# 2155253

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

**IA AMERIPRISE FINANCIAL SERVICES, LLC**  
 1089 JORDAN CREEK PKWY  
 STE 110  
 WEST DES MOINES, IA 50266  
 CRD# 6363  
 Registered with this firm since: 10/05/2009

**B AMERIPRISE FINANCIAL SERVICES, LLC**  
 1089 JORDAN CREEK PKWY  
 STE 110  
 WEST DES MOINES, IA 50266-5830  
 CRD# 6363  
 Registered with this firm since: 10/05/2009

**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
- 21 U.S. states and territories

**This broker has passed:**

- 3 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 AMERIPRISE ADVISOR SERVICES, INC.**  
 CRD# 5979  
 DETROIT, MI  
 06/2003 - 10/2009
- B AMERIPRISE ADVISOR SERVICES, INC.**  
 CRD# 5979  
 WEST DES MOINES, IA  
 05/1993 - 10/2009
- B HIBBARD BROWN & CO., INC.**  
 CRD# 18246  
 NEW YORK, NY  
 08/1991 - 10/1992

**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 |
|------------------|-------|
| Criminal         | 1     |
| 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 21 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 | 10/05/2009 |
| B | FINRA | General Securities Sales Supervisor | Approved | 10/05/2009 |

|    | U.S. State/ Territory | Category                          | Status   | Date       |
|----|-----------------------|-----------------------------------|----------|------------|
| B  | Arizona               | Agent                             | Approved | 10/05/2009 |
| B  | California            | Agent                             | Approved | 10/05/2009 |
| B  | Colorado              | Agent                             | Approved | 09/15/2014 |
| B  | Florida               | Agent                             | Approved | 10/05/2009 |
| B  | Illinois              | Agent                             | Approved | 10/05/2009 |
| B  | Iowa                  | Agent                             | Approved | 10/05/2009 |
| IA | Iowa                  | Investment Adviser Representative | Approved | 10/05/2009 |
| B  | Kansas                | Agent                             | Approved | 08/01/2023 |
| B  | Kentucky              | Agent                             | Approved | 09/08/2023 |
| B  | Michigan              | Agent                             | Approved | 03/17/2010 |
| B  | Minnesota             | Agent                             | Approved | 12/16/2011 |

## Broker Qualifications



### Employment 1 of 1, continued

|    | U.S. State/ Territory | Category                          | Status              | Date       |
|----|-----------------------|-----------------------------------|---------------------|------------|
| B  | Missouri              | Agent                             | Approved            | 10/05/2009 |
| B  | Nebraska              | Agent                             | Approved            | 11/28/2023 |
| B  | New Hampshire         | Agent                             | Approved            | 08/18/2015 |
| B  | North Carolina        | Agent                             | Approved            | 10/05/2009 |
| B  | South Carolina        | Agent                             | Approved            | 01/30/2024 |
| B  | South Dakota          | Agent                             | Approved            | 01/16/2024 |
| B  | Tennessee             | Agent                             | Approved            | 02/21/2020 |
| B  | Texas                 | Agent                             | Approved            | 10/05/2009 |
| IA | Texas                 | Investment Adviser Representative | Restricted Approval | 02/20/2010 |
| B  | Virginia              | Agent                             | Approved            | 11/06/2012 |
| B  | Washington            | Agent                             | Approved            | 10/05/2009 |
| B  | Wisconsin             | Agent                             | Approved            | 01/03/2025 |

### Branch Office Locations

#### AMERIPRISE FINANCIAL SERVICES, LLC

1089 JORDAN CREEK PKWY  
STE 110  
WEST DES MOINES, IA 50266-5830

#### AMERIPRISE FINANCIAL SERVICES, LLC

West Des Moines, IA



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

### Principal/Supervisory Exams

| Exam                                                                                       | Category  | Date       |
|--------------------------------------------------------------------------------------------|-----------|------------|
| <b>B</b> General Securities Sales Supervisor - General Module Examination                  | Series 10 | 01/02/2023 |
| <b>B</b> General Securities Sales Supervisor - Options Module Examination                  | Series 9  | 01/02/2023 |
| <b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module) | Series 8  | 03/09/1998 |

### General Industry/Product Exams

| Exam                                                   | Category  | Date       |
|--------------------------------------------------------|-----------|------------|
| <b>B</b> Securities Industry Essentials Examination    | SIE       | 10/01/2018 |
| <b>B</b> Futures Managed Funds Examination             | Series 31 | 05/22/2006 |
| <b>B</b> General Securities Representative Examination | Series 7  | 08/13/1991 |

### State Securities Law Exams

| Exam                                                    | Category  | Date       |
|---------------------------------------------------------|-----------|------------|
| <b>IA</b> Uniform Investment Adviser Law Examination    | Series 65 | 08/28/2001 |
| <b>B</b> Uniform Securities Agent State Law Examination | Series 63 | 09/11/1991 |

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/](http://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>IA</b> 06/2003 - 10/2009 | AMERIPRISE ADVISOR SERVICES, INC. | 5979  | WEST DES MOINES, IA |
| <b>B</b> 05/1993 - 10/2009  | AMERIPRISE ADVISOR SERVICES, INC. | 5979  | WEST DES MOINES, IA |
| <b>B</b> 08/1991 - 10/1992  | HIBBARD BROWN & CO., INC.         | 18246 | 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                  |
|-------------------|-------------------------------------|----------------|--------------------|------------------------------------|
| 03/2020 - Present | Ameriprise Financial Services, LLC  | Registered Rep | Y                  | West Des Moines, IA, United States |
| 10/2009 - 03/2020 | Ameriprise Financial Services, Inc. | Registered Rep | Y                  | West Des Moines, IA, 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.

No information reported.

## 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 |
|------------------|---------|-------|-----------|
| Criminal         | 0       | 1     | 0         |
| 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.

### Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

#### Disclosure 1 of 1

|                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>    | Broker                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Court Details:</b>       | CLEAR LAKE POLICE DEPARTMENT<br>59503                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>Charge Date:</b>         | 03/30/1988                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Charge Details:</b>      | THE ALLEGATIONS WERE THAT I TOOK PART IN THE<br>THEFT OF 2 REAL ESTATE SIGNS (VALUE \$125) IN THE CITY OF CLEAR<br>LAKE IA (5TH DEGREE THEFT)                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Felony?</b>              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>Current Status:</b>      | Final                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>Status Date:</b>         | 04/04/1988                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Disposition Details:</b> | I PLED GUILTY TO 5TH DEGREE THEFT (MISDEMEANOR)<br>AND PAID A \$50.00 FINE AND \$27.50 IN SURCHARGES AND COURT<br>COSTS.                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Broker Statement</b>     | ON THE EVENING OF MARCH 30, 1988, I WAS A<br>PASSENGER IN THE BACKSEAT OF A CAR THAT WAS BEING DRIVEN BY A<br>MINOR. ANOTHER MINOR WAS ALSO A PASSENGER IN THE CAR. THE<br>PASSENGER IN THE FRONT SEAT SPOTTED 2 REAL ESTATE SIGNDS IN THE<br>YARD OF A HOME, STOLE THE SIGNS AND PLACED THEM IN THE BACK<br>SEAT. NOT WANTING TO TAKE PART ON THE THEFT, I GOT OUT OF THE<br>CAR, WALKED TO MY CAR ACROSS THE STREET. AT THAT POINT, POLICE<br>ARRIVED. I WAS ARRESTED BECAUSE OF MY AGE (18) AND THE MINORS<br>WERE LET GO. |





## Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

### Disclosure 1 of 1

|                                                                            |                                                                                                                                                                                                                                                                           |
|----------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>                                                   | Regulator                                                                                                                                                                                                                                                                 |
| <b>Employing firm when activities occurred which led to the complaint:</b> | OLDE DISCOUNT CORPORATION                                                                                                                                                                                                                                                 |
| <b>Allegations:</b>                                                        | CUSTOMER AGAINST MEMBER FIRM AND REGISTERED REPRESENTATIVES FOR GROSS MISMANAGEMENT, UNSUITABLE TRADES, FAILURE TO DISCLOSE RISKS AND FAILURE TO SUPERVISE. CLAIMANTS' SEEK RECOVERY OF MONEY, DISGORGEMENT OF ALL COMMISSION INCOME, ATTORNEY FEES AND PUNITIVE DAMAGES. |
| <b>Product Type:</b>                                                       | Other                                                                                                                                                                                                                                                                     |
| <b>Alleged Damages:</b>                                                    | \$130,000.00                                                                                                                                                                                                                                                              |

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NYSE - CASE #2000-008497](#)

|                                    |                                                                                                                                                                                                                                        |
|------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Date Notice/Process Served:</b> | 05/11/2000                                                                                                                                                                                                                             |
| <b>Arbitration Pending?</b>        | No                                                                                                                                                                                                                                     |
| <b>Disposition:</b>                | Award                                                                                                                                                                                                                                  |
| <b>Disposition Date:</b>           | 06/04/2001                                                                                                                                                                                                                             |
| <b>Disposition Detail:</b>         | THE UNDESIGNED ARBITRATORS HAVE DECIDED AND DETERMINED IN FULL AND FINAL SETTLEMENT OF ALL CLAIMS BETWEEN THE PARTIES THAT: RESPONDENT SHALL PAY CLAIMANT \$130,000.00. FORUM FEES OF \$2,400.00 ARE ASSESSED AGAINST THE RESPONDENTS. |

|                                                                            |                                                                                                                                                                                    |
|----------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>                                                   | Broker                                                                                                                                                                             |
| <b>Employing firm when activities occurred which led to the complaint:</b> | OLDE DISCOUNT CORPORATION                                                                                                                                                          |
| <b>Allegations:</b>                                                        | CLAIMANTS ALLEGE UNSUITABILITY, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY AND EXCESSIVE TRADING IN CONNECTION WITH VARIOUS TRANSACTIONS OCCURRING BETWEEN APRIL, 1999 AND MARCH, |



2000.

**Product Type:** Equity - OTC**Alleged Damages:** \$173,955.00**Customer Complaint Information****Date Complaint Received:** 05/23/2000**Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:** 06/15/2000**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** [NYSE ARBITRATION NO. 00-01799](#)**Date Notice/Process Served:** 06/15/2000**Arbitration Pending?** No**Disposition:** Award to Customer**Disposition Date:** 06/04/2001**Monetary Compensation Amount:** \$130,000.00**Individual Contribution Amount:** \$0.00

**Broker Statement**

THE CUSTOMER MADE AN UNSOLICITED MARGIN PURCHASE OF A STOCK THAT THE FIRM NEITHER PROVIDED RESEARCH ON NOR RECOMMENDED. THE STOCK SUBSEQUENTLY DECLINED IN VALUE. FOR THESE REASONS, THE CUSTOMERS' CLAIM IS WITHOUT MERIT. THE EVIDENCE AND CIRCUMSTANCES REGARDING THE TRANSACTION AT ISSUE DID NOT JUSTIFY THE ARBITRATION PANEL'S DECISION.



## 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 2

|                                                                            |                                                                                                                                                                                              |
|----------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>                                                   | Broker                                                                                                                                                                                       |
| <b>Employing firm when activities occurred which led to the complaint:</b> | Ameriprise Financial Services, Inc.                                                                                                                                                          |
| <b>Allegations:</b>                                                        | Claimants allege that they were recommended unsuitable investments and transactions including high-risk investments in the energy and retail sectors. Time period at issue: 5/2014 - 5/2019. |
| <b>Product Type:</b>                                                       | Equity Listed (Common & Preferred Stock)                                                                                                                                                     |
| <b>Alleged Damages:</b>                                                    | \$380,000.00                                                                                                                                                                                 |
| <b>Is this an oral complaint?</b>                                          | No                                                                                                                                                                                           |
| <b>Is this a written complaint?</b>                                        | No                                                                                                                                                                                           |
| <b>Is this an arbitration/CFTC reparation or civil litigation?</b>         | Yes                                                                                                                                                                                          |
| <b>Arbitration/Reparation forum or court name and location:</b>            | FINRA - Iowa                                                                                                                                                                                 |
| <b>Docket/Case #:</b>                                                      | 19-01275                                                                                                                                                                                     |
| <b>Filing date of arbitration/CFTC reparation or civil litigation:</b>     | 05/08/2019                                                                                                                                                                                   |

### Customer Complaint Information

|                                        |                                                                                    |
|----------------------------------------|------------------------------------------------------------------------------------|
| <b>Date Complaint Received:</b>        | 05/08/2019                                                                         |
| <b>Complaint Pending?</b>              | No                                                                                 |
| <b>Status:</b>                         | Settled                                                                            |
| <b>Status Date:</b>                    | 04/03/2020                                                                         |
| <b>Settlement Amount:</b>              | \$150,000.00                                                                       |
| <b>Individual Contribution Amount:</b> | \$0.00                                                                             |
| <b>Broker Statement</b>                | Ameriprise Financial settled this matter for \$150,000 in order to avoid the costs |



associated with arbitration.

## Disclosure 2 of 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** OLDE DISCOUNT CORPORATION

**Allegations:** ON JUNE 06, 2000, CUSTOMER PLACED AN ORDER FOR 10,000 CIRCUIT CITY @ 39 1/4. AFTERWARDS, HE WANTED TO CANCEL ORDER AND PLACE ORDER FOR 10,000 @ 39 3/4. CANCELLATION DID NOT OCCUR RESULTING IN 19,000 SHARES PURCHASED. CUSTOMER ALLEGES UNAUTHORIZED PURCHASE OF 9000 SHARES. SUBSEQUENTLY SOLD 9000 SHARES ON DECEMBER 08, 2000 FOR LOSS OF APPROXIMATELY \$262,987.50. FILED FOR ARBITRATION ALLEGING BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, VIOLATION OF SECURITIES LAWS, OMISSION OF FACT, UNAUTHORIZED PURCHASE AND NEGLIGENCE. SEEKING \$263,996 DAMAGES AND \$200,000 PUNITIVE DAMAGES.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$262,987.50

## Customer Complaint Information

**Date Complaint Received:** 12/14/2000

**Complaint Pending?** No

**Status:** Arbitration/Reparation  
Withdrawn

**Status Date:** 07/31/2001

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD CASE NO. 01-03923

**Date Notice/Process Served:** 07/31/2001

**Arbitration Pending?** No



|                                        |                                                                                                                                                       |
|----------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Disposition:</b>                    | Settled                                                                                                                                               |
| <b>Disposition Date:</b>               | 06/12/2002                                                                                                                                            |
| <b>Monetary Compensation Amount:</b>   | \$105,000.00                                                                                                                                          |
| <b>Individual Contribution Amount:</b> | \$0.00                                                                                                                                                |
| <b>Broker Statement</b>                | THE FIRM MADE A BUSINESS DECISION TO SETTLE THE MATTER AFTER CONSIDERING THE AMOUNTS INVOLVED TOGETHER WITH THE COSTS OF PROCEEDING WITH ARBITRATION. |



## 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

|                                                                            |                                                                                                                |
|----------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>                                                   | Broker                                                                                                         |
| <b>Employing firm when activities occurred which led to the complaint:</b> | Ameriprise Financial Services, Inc.                                                                            |
| <b>Allegations:</b>                                                        | The clients alleged their advisor recommended unsuitable investments and executed unauthorized trades in 2017. |
| <b>Product Type:</b>                                                       | Equity-OTC<br>Equity Listed (Common & Preferred Stock)                                                         |
| <b>Alleged Damages:</b>                                                    | \$5,000.00                                                                                                     |
| <b>Alleged Damages Amount Explanation (if amount not exact):</b>           | A good faith estimate does not place the damages below \$5,000.00.                                             |
| <b>Is this an oral complaint?</b>                                          | No                                                                                                             |
| <b>Is this a written complaint?</b>                                        | Yes                                                                                                            |
| <b>Is this an arbitration/CFTC reparation or civil litigation?</b>         | No                                                                                                             |

### Customer Complaint Information

|                                        |            |
|----------------------------------------|------------|
| <b>Date Complaint Received:</b>        | 02/09/2018 |
| <b>Complaint Pending?</b>              | No         |
| <b>Status:</b>                         | Denied     |
| <b>Status Date:</b>                    | 04/09/2018 |
| <b>Settlement Amount:</b>              |            |
| <b>Individual Contribution Amount:</b> |            |

## End of Report



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