BrokerCheck Report

Wayne Washowich

CRD# 2202563

Section Title	Page(s)

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

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

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

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

brokercheck.finra.org

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

Wayne Washowich

CRD# 2202563

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

IA **AMERIPRISE FINANCIAL SERVICES, LLC**
309 Main St
Irwin, PA 15642
CRD# 6363
Registered with this firm since: 02/08/2021

B **AMERIPRISE FINANCIAL SERVICES, LLC**
800 Philadelphia St
Box 220
Indiana, PA 15701
CRD# 6363
Registered with this firm since: 01/26/2021

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
- 26 U.S. states and territories

This broker has passed:

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

Registration History

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

B **NORTHERN LIGHTS DISTRIBUTORS, LLC**
CRD# 126159
ELKHORN, NE
07/2019 - 11/2020

IA **ABSOLUTE CAPITAL MANAGEMENT, LLC**
CRD# 121484
PITTSBURGH, PA
06/2019 - 11/2020

IA **W.E. DONOGHUE & CO., LLC**
CRD# 285403
BOSTON, MA
12/2016 - 03/2019

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

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 26 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	01/26/2021
B	FINRA	Government Securities Representative	Approved	01/26/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	01/26/2021

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	08/16/2023
B	California	Agent	Approved	08/03/2023
B	Colorado	Agent	Approved	08/04/2023
IA	Colorado	Investment Adviser Representative	Approved	01/27/2025
B	Connecticut	Agent	Approved	01/24/2025
IA	Connecticut	Investment Adviser Representative	Approved	01/27/2025
B	Delaware	Agent	Approved	09/10/2021
B	Florida	Agent	Approved	08/03/2023
B	Georgia	Agent	Approved	10/10/2023
B	Indiana	Agent	Approved	10/10/2023

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kansas	Agent	Approved	09/27/2023
IA	Kansas	Investment Adviser Representative	Approved	09/27/2023
B	Kentucky	Agent	Approved	08/04/2023
B	Louisiana	Agent	Approved	05/22/2025
B	Maryland	Agent	Approved	08/07/2023
B	Massachusetts	Agent	Approved	05/22/2025
B	Mississippi	Agent	Approved	10/13/2023
B	New Hampshire	Agent	Approved	01/24/2025
IA	New Hampshire	Investment Adviser Representative	Approved	01/27/2025
B	New Jersey	Agent	Approved	08/03/2023
B	New York	Agent	Approved	08/02/2023
B	North Carolina	Agent	Approved	08/03/2023
B	Ohio	Agent	Approved	09/10/2021
B	Pennsylvania	Agent	Approved	02/08/2021
IA	Pennsylvania	Investment Adviser Representative	Approved	02/08/2021
B	South Carolina	Agent	Approved	08/03/2023
B	Texas	Agent	Approved	08/03/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	08/03/2023
B	Utah	Agent	Approved	05/22/2025
B	Vermont	Agent	Approved	08/03/2023
B	Virginia	Agent	Approved	05/08/2024

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Virginia	Investment Adviser Representative	Approved	01/27/2025
IA	Wisconsin	Investment Adviser Representative	Approved	04/04/2024
B	Wisconsin	Agent	Approved	04/05/2024

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
800 Philadelphia St
Box 220
Indiana, PA 15701

AMERIPRISE FINANCIAL SERVICES, LLC
North Huntingdon, PA

AMERIPRISE FINANCIAL SERVICES, LLC
309 Main St
Irwin, PA 15642

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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	07/11/1998

General Industry/Product Exams

	Exam	Category	Date
B	Government Securities Representative Examination	Series 72	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	08/22/1996
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	02/14/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	01/03/2003
B	Uniform Securities Agent State Law Examination	Series 63	02/11/1993

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	07/2019 - 11/2020	NORTHERN LIGHTS DISTRIBUTORS, LLC	126159	ELKHORN, NE
IA	06/2019 - 11/2020	ABSOLUTE CAPITAL MANAGEMENT, LLC	121484	PITTSBURGH, PA
IA	12/2016 - 03/2019	W.E. DONOGHUE & CO., LLC	285403	N. Huntingdon, PA
B	02/2014 - 03/2019	NORTHERN LIGHTS DISTRIBUTORS, LLC	126159	ELKHORN, NE
IA	04/2013 - 12/2016	W.E. DONOGHUE & CO., INC	106705	N. HUNTINGDON, PA
B	08/2011 - 02/2012	LPL FINANCIAL LLC	6413	NATRONIA HEIGHTS, PA
IA	08/2011 - 02/2012	LPL FINANCIAL LLC	6413	NATRONIA HEIGHTS, PA
IA	12/2010 - 07/2011	VALIC FINANCIAL ADVISORS, INC.	42803	PITTSBURGH, PA
B	12/2010 - 07/2011	VALIC FINANCIAL ADVISORS, INC.	42803	PITTSBURGH, PA
B	06/2010 - 12/2010	ALLSTATE FINANCIAL SERVICES, LLC	18272	MONROEVILLE, PA
IA	03/2009 - 10/2009	TRUSTMONT ADVISORY GROUP, INC.	106015	NORTH HUNTINGDON, PA
B	03/2009 - 10/2009	TRUSTMONT FINANCIAL GROUP, INC.	18312	GREENSBURG, PA
B	08/2003 - 01/2009	SECURITY DISTRIBUTORS, INC.	3336	TOPEKA, KS
IA	05/2003 - 08/2003	CITIZENS INVESTMENT SERVICES CORP.	39550	NO. HUNTINGTON, PA
B	04/2002 - 08/2003	CITIZENS INVESTMENT SERVICES CORP.	39550	JOHNSTON, RI
B	11/2001 - 03/2002	DREYFUS INVESTMENT SERVICES COMPANY, LLC	17477	PITTSBURGH, PA
B	06/1999 - 04/2000	TALBOT FINANCIAL SERVICES, INC.	46345	ALBUQUERQUE, NM
B	08/1997 - 12/1998	H.D. VEST INVESTMENT SECURITIES, INC.	13686	DALLAS, TX
B	02/1997 - 09/1997	INVESTACORP, INC.	7684	MIAMI, FL
B	09/1996 - 02/1997	PNC BROKERAGE CORP	34671	PITTSBURGH, PA
B	06/1994 - 10/1996	LAUGHLIN GROUP ADVISORS, INC.	18272	LINCOLN, NE

Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	02/1993 - 06/1994	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN
B	02/1993 - 06/1994	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN
B	02/1992 - 07/1992	EQUICO SECURITIES, INC.	6627	NEW YORK, NY
B	02/1992 - 07/1992	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	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
01/2021 - Present	Ameriprise Financial Services, LLC	Registered Representative	Y	Greensburg, PA, United States
07/2019 - 11/2020	NORTHERN LIGHTS DISTRIBUTORS, LLC	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, United States
06/2019 - 11/2020	ABSOLUTE CAPITAL MANAGEMENT, LLC	ADVISORY DIRECTOR	Y	PITTSBURGH, PA, United States
03/2019 - 06/2019	UNEMPLOYED	UNEMPLOYED	N	PITTSBURGH, PA, United States
02/2014 - 03/2019	NORTHERN LIGHTS DISTRIBUTORS, LLC	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, United States
02/2014 - 03/2019	W.E. DONOGHUE & CO., INC.	REGIONAL VICE PRESIDENT	Y	NORWOOD, MA, United States

Registration and Employment History

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; Diversified Market Solutions DBA Paint Parties and More; help with running things- marketing- advertising- paperwork; Consulting; 630 Oakhurst Dr, , North Huntingdon, PA, 15642; Not Investment-Related; 02/01/2021; 1 to 9 hours per month; 0 during trading hours. Board of Directors; Tube City Media; Member; 404 Walnut Street, , McKeesport, PA, 15132; Not Investment-Related; 02/01/2021; 1 to 9 hours per month; 0 during trading hours. Outside Employment; ST Bank; VP Financial Advisor - Meet with referred clients looking for financial planning assistance.; ; 701 E. Pittsburgh Street, , Greensburg, PA, 15601; Investment-Related; 01/25/2021; 60 hours per month; 60 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

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PNC BROKERAGE CORP
Allegations:	CUSTOMER EXPRESSED DISSATISFACTION WITH THE SALES PRACTICES OF AGENT WASHOWICH. SPECIFICALLY, CUSTOMER ALLEGED THAT WASHOWICH MADE MISREPRESENTATIONS OF DEATH BENEFITS OF VARIABLE ANNUITIES.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$22,167.00

Customer Complaint Information

Date Complaint Received:	06/20/2000
Complaint Pending?	No
Status:	Settled
Status Date:	07/20/2000
Settlement Amount:	$5,417.02
Individual Contribution Amount:	$0.00

Reporting Source:	Broker

Employing firm when activities occurred which led to the complaint:	TALBOT/SAFECO
Allegations:	CUSTOMER PASSED AWAY 3/25/00. BENEFICIARY REQUESTED A BENEFIT QUOTE ON 4/29/00. THEY WERE QUOTED FROM MS. MILANO. I WAS AT A DIFFERENT FIRM AT THIS TIME. THEY WERE QUOTED $154,275.78 BUT THE DEATH CERTIFICATE WAS LOST (DELAYED) AND DID NOT GET TO PUTNAM FOR SEVERAL WEEKS. THE ACCOUNT VALUE WAS $132,107.79 THEN AND THE BENEFICIARY WANTED THE AMOUNT QUOTED ON 4/29/00. I HAVE ALL OFFICIAL LETTERS FROM CUSTOMER AND PNC REPLY AS WELL AS SIGNED RELEASE BY CUSTOMER.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$22,167.99

Customer Complaint Information

Date Complaint Received:	06/20/2000
Complaint Pending?	No
Status:	Settled
Status Date:	07/18/2000
Settlement Amount:	$5,417.00
Individual Contribution Amount:	$0.00
Broker Statement	THE TIME FRAME FOR THIS COMPLAINT AS STATED ABOVE MAY 4, 2000 TO JUNE 1, 2000. I WAS AT A DIFFERENT FIRM UNABLE TO PROVIDE THE BEST CUSTOMER SERVICE THAT MY CLIENTS EXPECT. THE COMPENSATORY AMOUNT PAID WAS FOR THE DELAY OF LIQUIDATING THE ACCOUNT DUE TO THE PROCESS OF HANDLING THE PAPERWORK. I HAVE ALL DOCUMENTATION AND IT CAN BE PROVIDED IF NEEDED.

End of Report

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