BrokerCheck Report

Roland K Cook

CRD# 2215333

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.

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.

Roland K. Cook

CRD# 2215333

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

IA **AMERIPRISE FINANCIAL SERVICES, LLC**
809 W Riordan Rd
Ste 101
Flagstaff, AZ 86001
CRD# 6363
Registered with this firm since: 09/10/2021

B **AMERIPRISE FINANCIAL SERVICES, LLC**
809 W Riordan Rd
Ste 101
Flagstaff, AZ 86001
CRD# 6363
Registered with this firm since: 09/10/2021

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
- 21 U.S. states and territories

This broker has passed:

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

Registration History

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

B **J.P. MORGAN SECURITIES LLC**
CRD# 79
FLAGSTAFF, AZ
10/2012 - 09/2021

IA **J.P. MORGAN SECURITIES LLC**
CRD# 79
NEW YORK, NY
10/2012 - 09/2021

IA **CHASE INVESTMENT SERVICES CORP.**
CRD# 25574
NEW YORK, NY
12/2005 - 10/2012

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	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 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 Principal	Approved	09/10/2021
B	FINRA	General Securities Representative	Approved	09/10/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	09/10/2021

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	11/18/2025
B	Arizona	Agent	Approved	09/10/2021
B	California	Agent	Approved	01/12/2024
B	Colorado	Agent	Approved	11/18/2025
B	Illinois	Agent	Approved	02/22/2024
B	Indiana	Agent	Approved	02/22/2024
B	Kentucky	Agent	Approved	02/22/2024
B	Massachusetts	Agent	Approved	11/18/2025
B	Michigan	Agent	Approved	09/10/2021
B	Minnesota	Agent	Approved	02/22/2024

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Montana	Agent	Approved	10/05/2021
B	Nevada	Agent	Approved	09/10/2021
B	New Jersey	Agent	Approved	02/22/2024
B	New Mexico	Agent	Approved	09/10/2021
B	New York	Agent	Approved	06/04/2025
B	North Carolina	Agent	Approved	11/18/2025
B	Pennsylvania	Agent	Approved	02/22/2024
B	Tennessee	Agent	Approved	11/18/2025
B	Texas	Agent	Approved	09/10/2021
IA	Texas	Investment Adviser Representative	Approved	09/10/2021
B	Washington	Agent	Approved	09/10/2021
B	Wisconsin	Agent	Approved	06/18/2024

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
809 W Riordan Rd
Ste 101
Flagstaff, AZ 86001

AMERIPRISE FINANCIAL SERVICES, LLC
Flagstaff, AZ

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	03/23/2000

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	09/16/1994
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	05/07/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	12/08/2005
B	Uniform Securities Agent State Law Examination	Series 63	08/03/1992

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	10/2012 - 09/2021	J.P. MORGAN SECURITIES LLC	79	FLAGSTAFF, AZ
IA	10/2012 - 09/2021	J.P. MORGAN SECURITIES LLC	79	FLAGSTAFF, AZ
IA	12/2005 - 10/2012	CHASE INVESTMENT SERVICES CORP.	25574	FLAGSTAFF, AZ
B	07/2005 - 10/2012	CHASE INVESTMENT SERVICES CORP.	25574	FLAGSTAFF, AZ
B	01/2003 - 07/2005	BANC ONE SECURITIES CORPORATION	16999	CHICAGO, IL
B	06/2001 - 12/2002	HANTZ FINANCIAL SERVICES, INC.	46047	SOUTHFIELD, MI
B	08/1994 - 07/2001	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B	08/1994 - 07/2001	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
B	05/1992 - 05/1993	PFS INVESTMENTS INC.	10111	DULUTH, GA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/2021 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	REGISTERED REP	Y	FLAGSTAFF, AZ, United States
10/2012 - 09/2021	J.P. MORGAN SECURITIES LLC	Private Client Advisor	Y	FLAGSTAFF, AZ, United States
07/2005 - 07/2017	STICKY SHEETS UNLIMITED, LLC.	PRIVATE INVESTOR	N	COLORADO SPRINGS, CO, 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.

Real Estate Ownership; Single Family; 210 W Cedar Ave, , Flagstaff, AZ, 86001; Investment-Related; 12/15/2018.

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	2	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 - 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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	THE CLIENT ALLEGED DAMAGES IN EXCESS OF $75,000 BETWEEN NOVEMBER 1997 AND NOVEMBER 2004. FINANCIAL ADVISOR ROLAND COOK SERVICED THE CLIENT'S ACCOUNTS BETWEEN NOVEMBER 1997 AND AUGUST 2000. THE CLIENT SPECIFICALLY STATED THAT MR.COOK DID NOT ASSIST HIM WITH HIS ACCOUNT SERVICE NEEDS.
Product Type:	Money Market Fund(s)
Other Product Type(s):	MUTUAL FUNDS
Alleged Damages:	$75,000.00

Customer Complaint Information

Date Complaint Received:	11/12/2004
Complaint Pending?	No
Status:	Denied
Status Date:	12/10/2004
Settlement Amount:	

Individual Contribution Amount:	
Firm Statement	THE FIRM FOUND THAT THE ALLEGED DAMAGES WERE NOT DIRECTLY ASSOCIATED WITH THE PERIOD THAT I SERVICED THE CLIENT.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	THE CLIENT ALLEGED DAMAGES IN EXCESS OF $75,000 BETWEEN NOV 1997 AND NOV 2004. FA ROLAND COOK SERVICED THE CLIENTS ACCOUNTS BETWEEN NOV 1997 & AUG 2000. THE CLIENT SPECIFICALLY STATED THAT MR. COOK DID NOT ASSIST HIM WITH HIS ACCOUNT SERVICE NEEDS.
Product Type:	Mutual Fund(s)
Alleged Damages:	$75,000.00

Customer Complaint Information

Date Complaint Received:	11/12/2004
Complaint Pending?	No
Status:	Denied
Status Date:	12/10/2004
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	THE FIR FOUND THAT THE ALLEGED DAMAGES WERE NOT DIRECTLY ASSOCIATED WITH THE SERVICES FA ROLAND COOK SERVICED THE CLIENT.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: CLIENT ALLEGES ADVISOR GAVE POOR INVESTMENT ADVICE RESULTING IN SUBSTANTIAL LOSSES.

Product Type: Annuity(ies) - Fixed

Alleged Damages: $5,000.00

Customer Complaint Information

Date Complaint Received: 02/13/2003

Complaint Pending? No

Status: Denied

Status Date: 04/07/2003

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE INVESTMENTS MET THE CLIENTS GOALS AND OBJECTIVES AT TIME OF THE PURCHASE. $20000.00 WAS INVESTED IN THE RAVA. THE CLIENT'S INVESTMENT TIMEFRAME WAS 10+ YEARS. CLIENT HAD NO IMMEDIATE NEED FOR THE INCOME AS $100000.00 WAS SET ASIDE FOR LIQUIDITY AND DEBT PAYOFF GOALS.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FIANCIAL ADVISORS

Allegations: BRYNA FRANK FEELS THAT THE INVESTMENT SOLD TO HER WAS NOT APPROPRIATE.

I PROVIDED FINANCIAL PLANNING ADVICE TO NETTIE GREGORY, WHO IS BRYNA FRANKS' AUNT, FROM APPROXIMATELY 1998 TO 2000 UNTIL SHE DIED. BRYNA FRANK RECEIVED APPROXIMATELY $120,000 IN THE FORM OF AN INHERITANCE FROM NETTIE'S ESTATE.
BRYNA ASKED ME FOR FINANCIAL PLANNING ADVICE. I COMPLETED A FINACIAL PLAN ASSET ALLOCATION FOR HER AFTER WE MET IN LATE 2000. BECAUE SHE HAD OVER $40,000 IN REVOLVING DEBT I ONLY RECOMMENDED THAT SHE INVEST $20,000. OVER A PERIOD OF TIME BETWEEN 2000 AND 2001 SHE SHARED WITH ME HOW SHE WAS GIVING AWAY MONEY TO FAMILY MEMBERS IN RESPONSE TO THEIR REQUESTS. I EXPRESSED MY CONCERN TO HER THAT SHE WAS GOING TO RUN OUT OF

MONEY. SHE DID NOT DISCLOSE HER IMPROMTU GIFTING STRATEGY TO ME DURING THE FINANCIAL PLANNING PROCESS. I BELIEVE SHE WAS REPONDING TO THE WHIMS OF HER FAMILY.

Product Type:	Annuity(ies) - Variable
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	02/13/2003
Complaint Pending?	No
Status:	Denied
Status Date:	04/07/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE INVESTMENTS MET THE CLIENTS GOALS AND OBJECTIVES AT TIME OF THE PURCHASE. $20000.00 WAS INVESTED IN THE RAVA. THE CLIENT'S INVESTMENT TIMEFRAME WAS 10+ YEARS. CLIENT HAD NO IMMEDIATE NEED FOR THE INCOME AS $100000.00 WAS SET ASIDE FOR LIQUIDITY AND DEBT PAYOFF GOALS

End of Report

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