BrokerCheck Report

WILLIAM JOSEPH ROGERS

CRD# 2237708

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.

WILLIAM J. ROGERS

CRD# 2237708

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

IA **AMERIPRISE FINANCIAL SERVICES, LLC**
601 N BELAIR SQ
STE 29
EVANS, GA 30809
CRD# 6363
Registered with this firm since: 04/01/2003

B **AMERIPRISE FINANCIAL SERVICES, LLC**
601 N BELAIR SQ
STE 29
EVANS, GA 30809
CRD# 6363
Registered with this firm since: 06/25/1992

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
- 30 U.S. states and territories

This broker has passed:

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

Registration History

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

B **IDS LIFE INSURANCE COMPANY**
CRD# 6321
MINNEAPOLIS, MN
06/1992 - 07/2006

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 30 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	06/25/1992

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	09/14/2022
B	Arizona	Agent	Approved	01/29/2024
B	Arkansas	Agent	Approved	08/18/2009
B	California	Agent	Approved	05/15/2001
B	Colorado	Agent	Approved	07/30/2002
B	Florida	Agent	Approved	06/22/2000
B	Georgia	Agent	Approved	06/25/1992
IA	Georgia	Investment Adviser Representative	Approved	04/01/2003
B	Hawaii	Agent	Approved	04/12/2016
B	Idaho	Agent	Approved	06/21/2004
B	Illinois	Agent	Approved	06/28/2019
B	Indiana	Agent	Approved	04/25/2024

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Iowa	Agent	Approved	08/13/2009
B	Kentucky	Agent	Approved	10/11/2004
B	Maryland	Agent	Approved	11/03/2016
B	Massachusetts	Agent	Approved	01/02/2020
B	Michigan	Agent	Approved	09/09/2021
B	Minnesota	Agent	Approved	10/12/2004
B	Montana	Agent	Approved	07/01/1999
B	Nevada	Agent	Approved	03/26/2004
B	New York	Agent	Approved	02/12/2018
B	North Carolina	Agent	Approved	01/08/1998
B	Oklahoma	Agent	Approved	04/17/2023
B	Pennsylvania	Agent	Approved	07/24/2024
B	South Carolina	Agent	Approved	02/23/1993
B	South Dakota	Agent	Approved	05/22/2020
B	Tennessee	Agent	Approved	01/18/2011
B	Texas	Agent	Approved	02/10/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	02/13/2017
B	Virginia	Agent	Approved	03/14/2018
B	Washington	Agent	Approved	10/21/2019
B	Wisconsin	Agent	Approved	06/21/2000
IA	Wisconsin	Investment Adviser Representative	Approved	08/02/2024

Employment 1 of 1, continued

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
601 N BELAIR SQ
STE 29
EVANS, GA 30809

AMERIPRISE FINANCIAL SERVICES, LLC
Thomson, GA

AMERIPRISE FINANCIAL SERVICES, LLC
New Auburn, WI

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	06/23/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	07/14/1997
B	Uniform Securities Agent State Law Examination	Series 63	06/24/1992

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 06/1992 - 07/2006	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

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	Evans, GA, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Evans, 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; Commercial; 601 N. Belair Square, STE 29, Evans GA 30809, ,; Not Investment-Related; 11/01/1999 / Commercial; 11500 280th Ave,New Auburn, WI 54757, ,; Not Investment-Related; 09/01/2018. Business Ownership; Evans Office LLC; ; This LLC will be used to manage staff and office costs of my Financial Advisory Franchise; 601 N Belair Square, STE 29Evans, GA 30809, ,; Not Investment-Related; 05/12/2014; 10 to 19 hours per month; 1 to 9 during trading hours / Hess Homes LLC; ; Real Estate holding company owning Apartment Complexes. This was previously disclosed in July of 2011 and per John J Quinn, Sales Supervision Manager - Outside Business Activities, CSU we are moving this disclosure from the Real Estate Ownership section to the Business ownership section.; Hess Street, Fairbanks AK, ,; Investment-Related; 08/01/2011; 1 to 9 hours per month; 0 during trading hours / Monument Financial LLC; ; This is a holding company for the office rental property we own.; 601 N. Belair Office Sq.Ste 29Evans, GA 30809, ,; Not Investment-Related; 11/01/1999; 1 to 9 hours per month; 0 during trading hours. Other Business Activities; Homes For Our Troops; I am providing pro bono financial planning to a military family through Homes for Our Troops, a FPA-sponsored pro bono financial planning program. This activity involves no use of Ameriprise-branded materials and no sale of Ameriprise products.; Foundation for Financial Planning 1425 K Street NW, Suite 750 Wa, ,; ; 09/23/2016; 1 to 9 hours per month; 1 to 9 during trading hours / Authoring a book; I would like to write a short book identifying how the reader could improve their financial life. I would go into both financial concepts and emotional or psychological concepts in my writing. The intended audience for the book is the general public, but since I plan to offer the book to fellow advisors, clients and prospective clients I feel this would need to be signed off on by ACMR (who needs OBA approval before I can submit to them). I plan to market the book via media appearances, a web site dedicated for the book (not my Ameriprise web site) and my personal social media. The core advice would come down to having the reader identify their core values. With their core values in mind to develop goals consistent with their values in the areas of Financial Wealth, Physical Wealth, Personal Health Wealth and

Registration and Employment History

Other Business Activities, continued

Time Wealth. If possible, I would like to share experiences I've had with clients and even include client written descriptions of their experiences with me about the emotional side of identifying what's truly important to them. Topics to cover would include: Identifying core values Defining wealth Finding an Accountability Partner Overcoming Fear Dealing with emotions The interviewing process between a client and financial advisor, and how important it is for the advisor the reader decides to work with needs to understand more than just the numbers. Goal setting with heart (recognizing emotion goals, not so much financial goals).   I've put together an outline of what I'd like to wright (essentially what's above). but I do not have a title or anything finished at this time. I placed the start date as tomorrow as I'd like to begin in earnest putting this together. There is not a web site for the book, but I would like to create one if possible. ; 6413 Rousseau Creek Road, , Thomson, GA, 30824; Not Investment-Related; 03/21/2025; 1 to 9 hours per month; 0 during trading hours.

Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   - o

3. **Disclosure events in BrokerCheck reports come from different sources:**
   - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   - o

4. **There are different statuses and dispositions for disclosure events:**
   - o A disclosure event may have a status of *pending, on appeal,* or *final.*
     - ▪ A "pending" event involves allegations that have not been proven or formally adjudicated.
     - ▪ An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - ▪ A "final" event has been concluded and its resolution is not subject to change.
   - o A final event generally has a disposition of *adjudicated, settled* or *otherwise resolved.*
     - ▪ An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
     - ▪ A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - ▪ A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	1	N/A

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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES,INC.
Allegations:	THE CLIENT ALLEGED SHE WAS INVESTED OUTSIDE OF HER RISK TOLERANCE, THE VUL PURCHASED IN 1997 AND 2004 WERE INAPPROPRIATE AND SHE WAS CHARGED EXCESSIVE FEES FROM 1993-2009.
Product Type:	Insurance
Alleged Damages:	$85,098.93
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/12/2009
Complaint Pending?	No
Status:	Denied
Status Date:	03/12/2010

Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM FOUND THE ADVISOR RECOMMENDED APPROPRIATE INVESTMENTS FOR THE CLIENT'S STATED GOALS AND OBJECTIVES AT THE TIME OF PURCHASE, AND THE FEES CHARGED WERE APPROPRIATE FOR THE LEVEL OF SERVICE PROVIDED.

End of Report

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