

BrokerCheck Report

CHRISTOPHER MILAM BLACK

CRD# 2308591

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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:
 - 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.

**CHRISTOPHER M. BLACK**

CRD# 2308591

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

IA AMERIPRISE FINANCIAL SERVICES, LLC
 6860 Dallas Pkwy Ste 550
 Plano, TX 75024
 CRD# 6363
 Registered with this firm since: 12/18/2015

B AMERIPRISE FINANCIAL SERVICES, LLC
 6860 Dallas Pkwy Ste 550
 Plano, TX 75024
 CRD# 6363
 Registered with this firm since: 12/18/2015

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
- 13 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA STIFEL, NICOLAUS & COMPANY, INCORPORATED**
 CRD# 793
 ST LOUIS, MO
 12/2010 - 12/2015
- B STIFEL, NICOLAUS & COMPANY, INCORPORATED**
 CRD# 793
 DALLAS, TX
 12/2010 - 12/2015
- IA AMERIPRISE FINANCIAL SERVICES, INC.**
 CRD# 6363
 MINNEAPOLIS, MN
 12/2015 - 12/2015

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
Termination	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 13 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	12/18/2015
B	FINRA	Invest. Co and Variable Contracts	Approved	12/18/2015

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/05/2024
B	California	Agent	Approved	01/04/2024
B	Colorado	Agent	Approved	12/18/2015
B	Florida	Agent	Approved	08/30/2024
B	Georgia	Agent	Approved	01/09/2024
B	Minnesota	Agent	Approved	05/20/2023
B	New Mexico	Agent	Approved	05/15/2025
B	Oklahoma	Agent	Approved	01/08/2024
B	South Dakota	Agent	Approved	01/04/2024
B	Tennessee	Agent	Approved	04/13/2018
B	Texas	Agent	Approved	12/18/2015



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Approved	12/18/2015
B	Washington	Agent	Approved	01/21/2021
B	West Virginia	Agent	Approved	01/15/2020

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
Dallas, TX

AMERIPRISE FINANCIAL SERVICES, LLC
6860 Dallas Pkwy Ste 550
Plano, TX 75024



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, 4 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 National Commodity Futures Examination	Series 3	01/21/1998
B General Securities Representative Examination	Series 7	12/07/1993
B Investment Company Products/Variable Contracts Representative Examination	Series 6	01/29/1993

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/07/1995
B Uniform Securities Agent State Law Examination	Series 63	02/03/1993

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 12/2010 - 12/2015	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	DALLAS, TX
IA 12/2010 - 12/2015	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	DALLAS, TX
IA 12/2015 - 12/2015	AMERIPRISE FINANCIAL SERVICES, INC.	6363	RICHARDSON, TX
B 09/2006 - 12/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	DALLAS, TX
IA 09/2006 - 12/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	DALLAS, TX
IA 01/1994 - 09/2006	CITIGROUP GLOBAL MARKETS INC.	7059	DALLAS, TX
B 12/1993 - 09/2006	CITIGROUP GLOBAL MARKETS INC.	7059	DALLAS, TX
B 02/1993 - 09/1993	A I M DISTRIBUTORS, INC.	7369	HOUSTON, TX

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
12/2015 - Present	Ameriprise Financial Service, LLC	Registered Rep	Y	Plano, TX, United States
12/2015 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Richardson, TX, United States
12/2010 - 12/2015	STIFEL NICOLAUS & CO INC	FINANCIAL ADVISOR	Y	DALLAS, TX, 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.

Outside Employment; Christopher Milam Black Enterprises; Owner; Manage advisory business; 6860 Dallas Parkway, ste 550, Plano, TX, 75024; Investment-Related; 02/19/2024; 1 to 9 hours per month; 1 to 9 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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
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4. **There are different statuses and dispositions for disclosure events:**
 - 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.
 - 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
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

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:	Broker
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	THE CUSTOMERS ALLEGE FAILURE TO FOLLOW INSTRUCTIONS IN JUNE 2010.
Product Type:	Equity Listed (Common & Preferred Stock) Other: OPTIONS
Alleged Damages:	\$22,388.00
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:	07/01/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/09/2010



Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: UNSUATABILITY, EXCESSIVE TRADING, NEGLIGENCE BETWEEN 11/4/99 AND 12/12/00.

Product Type: Options

Alleged Damages: \$70,887.24

Customer Complaint Information

Date Complaint Received: 12/13/2000

Complaint Pending? No

Status: Denied

Status Date: 02/15/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement

PLEASE ARCHIVE, NOT REPORTABLE.
AFTER A COMPREHENSIVE REVIEW OF THE FACTS OF SURROUNDING CLAIMANTS' COMPLAINT LETTER, SALOMON SMITH BARNEY DENIED CLAIMANT'S CLAIM BECAUSE CLAIMANT ELECTED TO INVEST IN CERTAIN POSITIONS AFTER BEING APPRISED OF THE RISKS AND BENEFITS. WE EXPECTED THAT CLAIMANT WAS GOING TO FILE A FORMAL ARBITRATION, SINCE THAT HAS NOT OCCURRED, WE ARE CLOSING THIS MATTER.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: MERRILL LYNCH, PIERCE, FENNER & SMITH

Termination Type: Discharged

Termination Date: 12/10/2010

Allegations: DISREGARD OF MANAGEMENT'S DIRECTION REGARDING TRADING AND ATTEMPTED USE OF AN ALTERED IRA DISTRIBUTION DOCUMENT IN A DECEASED CLIENT'S ACCOUNT.

Product Type: Annuity-Fixed
Annuity-Variable

Reporting Source: Broker

Employer Name: MERRILL LYNCH

Termination Type: Discharged

Termination Date: 12/10/2010

Allegations: DISREGARD OF MANAGEMENT'S DIRECTION REGARDING TRADING AND ATTEMPTED USE OF AN ALTERED IRA DISTRIBUTION DOCUMENT IN A DECEASED CLIENT'S ACCOUNT.

Product Type: Annuity-Fixed
Annuity-Variable

Broker Statement WE HAD A MERRILL LYNCH POWER OF ATTORNEY AS WELL AS A STATE OF TEXAS DURABLE POWER OF ATTORNEY ON FILE THAT GAVE CLIENT'S SON DECISION MAKING AUTHORITY IN ALL ACCOUNTS INCLUDING IRA. BEFORE CLIENTS PASSING, THE SON SIGNED FORMS TO HAVE THE MINIMUM DISTRIBUTION TAKEN FROM THE IRA. WHEN PROCESSING THE DISTRIBUTION THE FIRM SAID THAT BOTH POWER OF ATTORNEY DOCUMENTS HAD NOT BEEN FULLY APPROVED EVEN THOUGH THEY HAD BEEN SIGNED AND NOTARIZED IN AUGUST 2008, TWO YEARS PRIOR. THEREFORE THE DISTRIBUTION FROM THE IRA COULD NOT BE PROCESSED. IN THE INTERIM THE CLIENT PASSED AWAY WHICH MADE THE MERRILL LYNCH POWER OF ATTORNEY VALID. NOW THE OWNER OF THE IRA IS THE BENEFICIARY, THE CLIENT'S SPOUSE. THE TEXAS



DURABLE POWER OF ATTORNEY WE HAD ON FILE GAVE THE SON DECISION MAKING AUTHORITY FOR HIS MOM, BUT THE FIRM SAID THIS DOCUMENT HAD ALSO NOT BEEN FULLY APPROVED IN 2008. WITH YEAR END APPROACHING THE SON AND I MADE THE DECISION TO FORCE THE DISTRIBUTION TO BE MADE BY OPERATIONS BECAUSE THERE WOULD BE PENALTIES IF THE DISTRIBUTION WAS NOT MADE. WHEN WE WENT TO PROCESS THE IRA DISTRIBUTION DOCUMENT IT COULD NOT BE FOUND ANYWHERE. SO THE SON SIGNED A NEW DISTRIBUTION DOCUMENT AND BACK DATED IT TO WHEN WE RECEIVED IT ORIGINALLY BEFORE THE CLIENT'S PASSING. WE DEEMED THAT BOTH POWERS OF ATTORNEY WERE VALID WHICH WOULD ALLOW THE SON TO SIGN ON BEHALF OF HIS FATHER, THE ORIGINAL IRA OWNER, OR SIGN ON BEHALF OF HIS MOM, THE NEW OWNER/BENEFICIARY. THE FIRM WOULD STILL NOT VALIDATE THE POWERS OF ATTORNEY AND DETERMINED THAT I HAD DISREGARDED THAT FACT BY TRYING GET THE DISTRIBUTION DONE AND HAD ALSO USED AN ALTERED DISTRIBUTION DOCUMENT. THEY FELT THIS WAS JUST CAUSE FOR TERMINATING ME. A FEW MONTHS LATER AS THE RESULT OF CONSTANT PRESSURE FROM THE FAMILY'S ATTORNEY, THE FIRM, MADE THE DECISION TO ALLOW THE POWERS OF ATTORNEY TO BE USED AND THE DISTRIBUTION WAS MADE.

End of Report



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