BrokerCheck Report

ERNEST BARRIOS CRISOLOGO

CRD# 2509727

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.

ERNEST B. CRISOLOGO

CRD# 2509727

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

IA **AMERIPRISE FINANCIAL SERVICES, LLC**
1420 Rocky Ridge Dr Ste 160
Roseville, CA 95661
CRD# 6363
Registered with this firm since: 11/15/2000

B **AMERIPRISE FINANCIAL SERVICES, LLC**
1420 Rocky Ridge Dr Ste 160
Roseville, CA 95661
CRD# 6363
Registered with this firm since: 11/08/2000

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
- 12 U.S. states and territories

This broker has passed:

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

Registration History

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

B **IDS LIFE INSURANCE COMPANY**
CRD# 6321
MINNEAPOLIS, MN
11/2000 - 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	7

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 12 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	11/08/2000

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	03/27/2013
B	California	Agent	Approved	11/08/2000
IA	California	Investment Adviser Representative	Approved	11/15/2000
B	Colorado	Agent	Approved	07/24/2024
B	Florida	Agent	Approved	08/01/2008
B	Hawaii	Agent	Approved	01/24/2020
B	Idaho	Agent	Approved	07/01/2003
B	Illinois	Agent	Approved	05/23/2016
B	Nevada	Agent	Approved	11/04/2002
B	New York	Agent	Approved	06/08/2023
B	Oregon	Agent	Approved	03/09/2006
B	Texas	Agent	Approved	12/07/2005

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	09/28/2006
B	Washington	Agent	Approved	12/16/2005

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
1420 Rocky Ridge Dr Ste 160
Roseville, CA 95661

AMERIPRISE FINANCIAL SERVICES, LLC
Lincoln, CA

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 1 state securities law exam.

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	11/07/2000

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	10/04/2000

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 **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 11/2000 - 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	Roseville, CA, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Roseville, CA, 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 License; Yes.

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.
   -
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	7	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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES,INC.
Allegations:	CLAIMANTS ALLEGE THAT RESPONDENT DID NOT PROPERLY MANAGE THEIR INVESTMENTS. CLAIMANTS' CLAIM INCLUDE BREACH OF FIDUCIARY DUTY,FAILURE TO SUPERVISE, ELDER ABUSE, MISREPRESENTATIONS,NEGLIGENCE, AND FRAUD.
Product Type:	Other: SPS ACCOUNT
Alleged Damages:	$510,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA-CA
Docket/Case #:	10-01004
Filing date of arbitration/CFTC reparation or civil litigation:	03/23/2010

Customer Complaint Information

Date Complaint Received:	03/23/2010
Complaint Pending?	No
Status:	Settled
Status Date:	05/12/2011
Settlement Amount:	$40,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE PARTIES CHOSE TO SETTLE THIS MATTER IN ORDER TO AVOID THE COSTS ASSOCIATED WITH ARBITRATION.

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES,INC.
Allegations:	CLAIMANTS ALLEGE THAT RESPONDENTS MADE UNSUITABLE INVESTMENT RECOMMENDATIONS,INCLUDING TWO VARIABLE ANNUITIES AND A REIT. CLAIMANTS SEEK DAMAGES IN THE AMOUNT OF $137,000, PLUS INTEREST, COSTS,PUNITIVE DAMAGES,AND ATTORNEY FEES.
Product Type:	Annuity-Variable Real Estate Security
Alleged Damages:	$137,000.00
Is this an oral complaint?	No
Is this a written complaint?	
Is this an arbitration/CFTC reparation or civil litigation?	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	CA 10-00011
Date Notice/Process Served:	01/25/2010

Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/22/2011
Monetary Compensation Amount:	$14,900.00
Individual Contribution Amount:	$0.00
Broker Statement	AMERIPRISE CHOSE TO SETTLE THIS MATTER IN ORDER TO AVOID THE COSTS ASSOCIATED WITH FINRA ARBITRATION. I WAS DISMISSED FROM THE CASE AS PART OF THE SETTLEMENT.

Disclosure 3 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES INC
Allegations:	THE CLIENTS ALLEGED THAT THE ADVISOR GUARANTEED THE PRINCIPAL IN THE ANNUITIES, PURCHASED IN JUNE OF 2006, AGAINST LOSS IN EVENT OF THE DEFAULT OF THE ISSUING INSURANCE COMPANY. THEY ASKED FOR A WAVIER OF THE SURRENDER CHARGED OF $47,344.56.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$47,344.56

Customer Complaint Information

Date Complaint Received:	10/09/2006
Complaint Pending?	No
Status:	Settled
Status Date:	01/18/2007
Settlement Amount:	$26,540.32
Individual Contribution Amount:	$0.00
Broker Statement	WE COULD NOT SUBSTANTIATE THE CLIENT'S RECEIVED THE REQUESTED DISCLOSURE, BEFORE THE PURCHASE, ON THE BACKING OF THE ANNUITIES IN THE CASE OF INSOLVENCY OF THE LIFE COMPANY. A FREE LOOK CANCELATION WAS PROCESSED ON ONE ANNUITY AND THE

SURRENDER CHARGE, $26,540.32 WAS WAIVED ON THE OTHER ONE.

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 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES,INC.
Allegations:	CLIENT ALLEGED HIS ADVISOR DID NOT DISCLOSE THE TAX CONSEQUENCES OF A TRANSACTION FROM HIS ACCOUNT IN MARCH 2009.
Product Type:	Money Market Fund
Alleged Damages:	$35,000.00
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:	05/03/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	11/03/2010
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES,INC.

Allegations:	THE CLIENTS ALLEGE THEY WERE POORLY ADVISED FIVE YEARS AGO THAT THEY HAD SUFFICENT ASSETS TO RETIRE.
Product Type:	Mutual Fund Real Estate Security
Alleged Damages:	$309,948.80
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:	08/07/2009
Complaint Pending?	No
Status:	Denied
Status Date:	11/10/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	OUR REVIEW INDICATED THE FINANCIAL PLANNING DONE WAS SUITABLE FOR THE CLIENT.

Disclosure 3 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES INC
Allegations:	CLIENT'S ATTORNEY ALLEGED ADVISOR RECOMMENDED INAPPROPRIATE VARIABLE ANNUITIES, VARIABLE LIFE INSURANCE, MANAGED ACCOUNTS, REITS, MUTUAL FUNDS, AND FINANCIAL PLANS WITHOUT PROVING PROPER DISCLOSURE. FURTHER, THE ATTORNEY ALLEGED THE ADVISOR MADE UNAUTHORIZED AND EXCESSIVE TRANSACTIONS, AND CHARGED EXCESSIVE FEES. ACTIVITIES TOOK PLACE BETWEEN NOVEMBER 18, 2002 AND APRIL 20, 2008.
Product Type:	Annuity(ies) - Variable

Other Product Type(s): VARIABLE LIFE INSURANCE, MANAGED ACCOUNTS, REITS, MUTUAL F UNDS, AND FINANCIAL PLANS.

Alleged Damages: $5,000.00

Customer Complaint Information

Date Complaint Received: 08/15/2008

Complaint Pending? No

Status: Denied

Status Date: 11/12/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM FOUND THE ADVISOR'S RECOMMENDATION TO BE SUITABLE, PROPER DISCLOSURE WAS PROVIDED, AND FEES CHARGED WERE NOT EXCESSIVE. THE CLIENT WAS INVESTED IN A DISCRETIONARY ACCOUNT FROM 2004 TO 2006 WHICH DID NOT REQUIRE CLIENT APPROVAL FOR TRANSACTIONS. ALL OTHER TRANSACTIONS WERE APPROVED BY THE CLIENT.

Disclosure 4 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES INC

Allegations: CLINET ALLEGED THROUGH HER ATTORNEY THAT HE ADVISOR SOLD HER AN INAPPROPRIATE VARIABLE ANNUITY. ANNUITY PURCHASED JULY 3, 2006.

Product Type: Annuity(ies) - Variable

Alleged Damages: $5,000.00

Customer Complaint Information

Date Complaint Received: 04/16/2008

Complaint Pending? No

Status: Denied

Status Date: 08/08/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM FOUND THE VARIABLE ANNUITY WAS APPROPRIATE FOR THE CLIENT'S STATED GOALS AND OBJECTIVES.

End of Report

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