BrokerCheck Report

STEVEN ALLEN HORSLEY

CRD# 2656232

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.

STEVEN A. HORSLEY

CRD# 2656232

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

IA **AMERIPRISE FINANCIAL SERVICES, LLC**
22 W 9th St
Cincinnati, OH 45202
CRD# 6363
Registered with this firm since: 07/18/2024

B **AMERIPRISE FINANCIAL SERVICES, LLC**
22 W 9th St
Cincinnati, OH 45202
CRD# 6363
Registered with this firm since: 07/18/2024

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:

- 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 **MML INVESTORS SERVICES, LLC**
CRD# 10409
SPRINGFIELD, MA
06/2023 - 06/2024

B **MML INVESTORS SERVICES, LLC**
CRD# 10409
CINCINNATI, OH
05/2023 - 06/2024

IA **BROOKSTONE CAPITAL MANAGEMENT LLC**
CRD# 141413
WHEATON, IL
12/2019 - 04/2023

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
Financial	5

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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	07/18/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/05/2025
B	California	Agent	Approved	09/04/2024
B	Colorado	Agent	Approved	01/27/2025
B	Florida	Agent	Approved	09/05/2024
B	Georgia	Agent	Approved	04/25/2025
B	Illinois	Agent	Approved	09/03/2024
B	Indiana	Agent	Approved	07/19/2024
B	Iowa	Agent	Approved	09/05/2024
B	Kentucky	Agent	Approved	07/29/2024
B	Louisiana	Agent	Approved	09/17/2024
B	Michigan	Agent	Approved	04/28/2025
B	Missouri	Agent	Approved	08/14/2025

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Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nevada	Agent	Approved	01/23/2025
B	New Mexico	Agent	Approved	09/05/2024
B	North Carolina	Agent	Approved	01/27/2025
B	Ohio	Agent	Approved	07/18/2024
IA	Ohio	Investment Adviser Representative	Approved	07/18/2024
B	Oklahoma	Agent	Approved	09/05/2024
B	Oregon	Agent	Approved	03/26/2025
B	Pennsylvania	Agent	Approved	08/16/2024
B	South Carolina	Agent	Approved	01/09/2025
B	Texas	Agent	Approved	02/18/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	02/18/2025
B	Virginia	Agent	Approved	09/05/2024
B	Washington	Agent	Approved	09/04/2024
B	West Virginia	Agent	Approved	08/22/2024
B	Wisconsin	Agent	Approved	09/05/2024
B	Wyoming	Agent	Approved	09/04/2024

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
22 W 9th St
Cincinnati, OH 45202

AMERIPRISE FINANCIAL SERVICES, LLC
Mason, OH

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Broker Qualifications

Employment 1 of 1, continued

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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	05/22/2023
B	General Securities Representative Examination	Series 7TO	05/20/2023
B	Futures Managed Funds Examination	Series 31	11/03/1995
B	General Securities Representative Examination	Series 7	10/20/1995

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	06/09/2023
B IA	Uniform Combined State Law Examination	Series 66	02/05/2001

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/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	06/2023 - 06/2024	MML INVESTORS SERVICES, LLC	10409	CINCINNATI, OH
B	05/2023 - 06/2024	MML INVESTORS SERVICES, LLC	10409	CINCINNATI, OH
IA	12/2019 - 04/2023	BROOKSTONE CAPITAL MANAGEMENT LLC	141413	Mason, OH
B	12/2018 - 06/2019	U.S. BANCORP INVESTMENTS, INC.	17868	Cincinnati, OH
IA	12/2018 - 06/2019	U.S. BANCORP INVESTMENTS, INC.	17868	Cincinnati, OH
IA	01/2003 - 08/2017	STRATEGIC ADVISERS, INC.	104555	COVINGTON, KY
B	07/1996 - 08/2017	FIDELITY BROKERAGE SERVICES LLC	7784	COVINGTON, KY
B	10/1995 - 06/1996	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, 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
07/2024 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Rep	Y	Cincinnati, OH, United States
05/2023 - 06/2024	MML Investors Services, LLC	Registered Representative	Y	Cincinnati, OH, United States
04/2023 - 06/2024	MassMutual Insurance Company	Agent	Y	Cincinnati, OH, United States
06/2022 - 05/2023	Ideal Concepts Inc	Insurance Agent	Y	Mason, OH, United States
11/2019 - 04/2023	Brookstone Capital Management	Investment Advisor Representative	Y	Mason, OH, United States
05/2019 - 04/2023	JD Mellberg Financial	1099 Financial Advisor	Y	Mason, OH, United States
11/2018 - 05/2019	U.S. Bancorp Investments, Inc.	Concierge Services	Y	Cincinnati, OH, United States
11/2018 - 04/2019	U.S. Bank	Concierge Services	Y	Cincinnati, OH, United States

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Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
02/2018 - 10/2018	Kings Ford Inc	Sales Consultant - New & Used Vehicles	N	Mason, OH, United States
10/2017 - 02/2018	PopYachts Inc	Sales Agent	N	Milford, OH, United States
03/2001 - 07/2017	Strategic Advisers	Investment Adviser	Y	Covington, KY, United States
07/1996 - 07/2017	Fidelity Brokerage Services, Inc.	Not Provided	Y	Covington, KY, 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.

No information reported.

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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.
   -
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
Financial	0	5	N/A

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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.

Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 5

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	03/03/2020
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	02/24/2023
If a compromise with creditor, provide:	
Name of Creditor:	Citibank
Original Amount Owed:	$20,540.26
Terms Reached with Creditor:	Compromise Amount of 9244.00.

Disclosure 2 of 5

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	12/13/2020

Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	01/28/2023
If a compromise with creditor, provide:	
Name of Creditor:	Synchrony Bank - 3137
Original Amount Owed:	$3,619.00
Terms Reached with Creditor:	Compromised Amount 1533.88, on payment plan with Slate Legal Group.

Disclosure 3 of 5

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	03/03/2020
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	01/28/2023
If a compromise with creditor, provide:	
Name of Creditor:	Synchrony Bank - 4980
Original Amount Owed:	$7,076.49
Terms Reached with Creditor:	Compromised Amount of 6433.00

Disclosure 4 of 5

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Reporting Source:	Broker
Action Type:	Compromise
Action Date:	09/15/2020
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	06/29/2023
If a compromise with creditor, provide:	
Name of Creditor:	Capital One
Original Amount Owed:	$6,704.00
Terms Reached with Creditor:	Compromised Amount of 3659.17, on payment plan with Slate Legal Group

Disclosure 5 of 5

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	05/22/2020
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	02/12/2024
If a compromise with creditor, provide:	
Name of Creditor:	Chase Bank/JPMCB Card
Original Amount Owed:	$7,686.00

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Terms Reached with Creditor: Compromise Amount of 3843.23, on payment plant with Slate Legal Group

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End of Report

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