BrokerCheck Report

Jeff R. Thomsen

CRD# 2885994

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.

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Report Summary for this Broker

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

IA **AMERIPRISE FINANCIAL SERVICES, LLC**
9951 Mickelberry Rd NW Ste 127
Silverdale, WA 98383
CRD# 6363
Registered with this firm since: 04/08/2019

B **AMERIPRISE FINANCIAL SERVICES, LLC**
9951 Mickelberry Rd NW Ste 127
Silverdale, WA 98383
CRD# 6363
Registered with this firm since: 03/07/2019

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
- 22 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):

IA **EDWARD JONES**
CRD# 250
ST. LOUIS, MO
02/2007 - 02/2019

B **EDWARD JONES**
CRD# 250
BREMERTON, WA
06/1997 - 02/2019

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	3
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 22 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	03/07/2019

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	05/22/2019
B	California	Agent	Approved	03/07/2019
B	Connecticut	Agent	Approved	03/07/2019
B	Florida	Agent	Approved	06/14/2019
B	Hawaii	Agent	Approved	05/29/2019
B	Idaho	Agent	Approved	03/20/2023
B	Illinois	Agent	Approved	12/13/2023
B	Iowa	Agent	Approved	06/10/2025
B	Maryland	Agent	Approved	03/22/2022
B	Massachusetts	Agent	Approved	01/09/2020
B	Missouri	Agent	Approved	07/08/2024
B	Montana	Agent	Approved	04/01/2024

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nevada	Agent	Approved	03/07/2019
B	North Carolina	Agent	Approved	01/06/2025
B	Oklahoma	Agent	Approved	06/06/2023
B	Oregon	Agent	Approved	03/19/2019
B	South Carolina	Agent	Approved	05/31/2023
B	Tennessee	Agent	Approved	01/07/2025
B	Texas	Agent	Approved	03/26/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	02/10/2020
B	Utah	Agent	Approved	03/01/2024
B	Virginia	Agent	Approved	03/21/2022
B	Washington	Agent	Approved	04/08/2019
IA	Washington	Investment Adviser Representative	Approved	04/08/2019

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
9951 Mickelberry Rd NW Ste 127
Silverdale, WA 98383

AMERIPRISE FINANCIAL SERVICES, LLC
Gig Harbor, WA

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	06/09/1997

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	01/24/2007
B	Uniform Securities Agent State Law Examination	Series 63	06/11/1997

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
IA	02/2007 - 02/2019	EDWARD JONES	250	BREMERTON, WA
B	06/1997 - 02/2019	EDWARD JONES	250	BREMERTON, WA

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	Silverdale, WA, United States
03/2019 - 03/2020	AMERIPRISE FINANCIAL SERVICES, INC.	Registered Representative	Y	SILVERDALE, WA, United States
03/1997 - 03/2019	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	BREMERTON, WA, 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.

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
Customer Dispute	0	3	N/A
Termination	N/A	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 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: 06/23/2003; CLIENT CLAIMS, WHEN HE INVESTED, HE INFORMED FA HE DID NOT WANT ANY BONDS THAT WERE NOT INSURED. CLIENT CLAIMS HE WILL NOW BE OUT THOUSANDS OF DOLLARS BECAUSE THE FA DID NOT FOLLOW HIS INSTRUCTIONS. FILING REQUIRED; CLAIM EXCEEDS $5,000

Product Type: Debt-Corporate

Alleged Damages: $5,000.00

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: 03/17/2009

Complaint Pending? No

Status: Denied

Status Date: 06/29/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

OUR RECORDS REFLECT THE SUNAMERICA BOND IN QUESTION WAS PURCHASED IN JUNE 2003. AT THAT TIME, FA STATED HE REVIEWED ALL ASPECTS OF THE BOND AND THE BOND MET CLIENT'S NEEDS AND WAS PURCHASED WITH CLIENT'S AUTHORIZATION. ADDITIONALLY, CLIENT RECEIVED TRADE CONFIRMATIONS AND STATEMENTS WHICH REFLECTED THE BOND AS WELL AS THE RATING AND ESTIMATED VALUE. IT IS MY UNDERSTANDING, UPON RECEIPT OF CLIENT'S E-MAIL, FA WAS IN COMMUNICATION WITH CLIENT TO ADDRESS THE SITUATION. WHILE WE CERTAINLY UNDERSTAND CLIENT'S CONCERNS RELATED TO THE DECLINE IN VALUE OF THE BOND, INTEREST IS CALCULATED AND PAID ON THE FULL PRINCIPAL AMOUNT OF THE INVESTMENT. FURTHER, AS LONG AS THE INVESTMENT IS HELD IN THE ACCOUNT AND THE ISSUER IS NOT IN DEFAULT, CLIENT WILL CONTINUE TO RECEIVE INTEREST. UNFORTUNATELY, THE PERFORMANCE IS ATTRIBUTED TO CIRCUMSTANCES BEYOND OUR CONTROL TO INCLUDE MARKET FLUCTUATION. CLAIM DENIED.

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	THE CLIENT STATES THE IR DID NOT PLACE AN ORDER AS REQUESTED ON 5/5/06; THE CLIENT STATES THE MARKET WENT DOWN. THE CLIENT STATES SEVERAL STOCK PURCHASES LOST HALF THEIR VALUE (CAG AND HD). THE CLIENT ALSO STATES THE IR RECOMMENDED GROWTH STRATEGIES, WHICH HAS DECLINED IN VALUE. THE IR RECOMMENDED A VARIABLE ANNUITY, WHICH HAS ALSO DECLINED IN VALUE. THE CLIENT STATES THE IR WAS ALSO CHURNING IN THE ACCOUNT. LOSSES EXCEED $5,000; FILING
Product Type:	Other
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	06/19/2006
Complaint Pending?	No

Status:	Denied
Status Date:	08/04/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE IR STATES THE CLIENT NEEDED TO COMPLETE THE FULL LIQUIDATION LETTER AND THE ANNUITY LIQUIDATION FORMS SINCE THE CLIENT WAS REQUESTING TO FULLY LIQUIDATE THE REMAINING ANNUITY. THE CLIENT HAS NOT FILED OR SIGNED THIS FORM. THE IR STATES THE ANNUITY WAS RECOMMENDED BECAUSE THE CLIENT HAD INDICATED HE WOULD NOT NEED INCOME UNTIL RETIREMENT; THE IR STATES THE CLIENT WOULD HAVE BENEFITED FROM THE TAX DEFERRED GROWTH AND THE BREAKPOINTS. THE CLIENT HAS ALSO MENTIONED HIS DISAPPOINTMENT IN RECOMMENDATIONS MADE BY THE IR. WHILE WE UNDERSTAND THE CLIENT'S DISAPPOINTMENT WITH THE PERFORMANCE OF THE INVESTMENTS, THE DECLINE IN VALUE OF THE INVESTMENTS IS ATTRIBUTED MARKET FLUCTUATION, WHICH IS A RISK ASSOCIATED WITH INVESTING.

Disclosure 3 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	THE CLIENT STATES SHE LOST $14-15K SINCE TRANSFERRING HER PORTFOLIO TO EDJ IN MARCH 06. THE CLIENT STATES THE LOSS IS A COMBINATION OF COMMISSION AND ACTUAL MARKET LOSS. THE CLIENT STATES THE COMMISSIONS WERE LARGELY HIDDEN AND THERE SEEMED TO BE A CONFLICT OF INTEREST. THE CLIENT ALSO STATES SHE WAS NOT AWARE THE IR COULD NOT PLACE TRADES WITHOUT TALKING TO HER FIRST; THE CLIENT STATES BECAUSE SHE MISSED AN APPOINTMENT, TRADES WERE NOT PLACED AND CHECKS DID NOT CLEAR.
Product Type:	Other
Alleged Damages:	$15,000.00

Customer Complaint Information

Date Complaint Received:	05/01/2006
Complaint Pending?	No

Status:	Denied
Status Date:	05/19/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE IR STATES HE REVIEWED THE COMMISSION AND SALES CHARGE ON EACH TRANSACTION. THE IR ALSO STATES HE REVIEWED WITH THE CLIENT THAT OUR FIRM CHARGES A COMMISSION/SALES CHARGE PER TRADE, NOT ON A QUARTELY BASIS. THE DECLINE IN THE MARKET VALUE OF THE ACCOUNT IS ATTRIBUTED TO MARKET FLUCTUATION, WHICH IS A RISK ASSOCIATED WITH INVESTING. THE IR STATES THE CLIENT CONTACTED HIM AFTER THE MARKET CLOSED ON 4/14/06 TO INDICATE SHE NEEDED TO SELL TO COVER TAXES; THE IR INDICATES HE INFORMED THE CLIENT HE WOULD REVIEW THE ACCOUNT AND FOLLOW UP WITH A RECOMMENDATION ON WHAT TO LIQUIDATE. THE IR STATES HE COULD NOT REACH THE CLIENT UNTIL 4/20/06; THE IR COULD NOT PLACE THE TRADES IN THE ACCOUNT WITHOUT CONFIRMING THE ORDERS WITH THE CLIENT FIRST. THE IR DOES NOT HAVE TRADING AUTHORITY AND IS NOT ABLE TO USE DISCRETION IN A CLIENT'S ACCOUNT. THE CLIENT'S ACCOUNT WAS TRANSFERRED TO A NEW BROKERAGE FIRM ON 5/16/06. THE CLIENT'S REQUEST FOR REIMBURSEMENT IS RESPECTFULLY DENIED.

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:	Edward Jones
Termination Type:	Discharged
Termination Date:	02/11/2019
Allegations:	Loss of management confidence including concerns relating to the surrender of an investment.
Product Type:	Annuity-Fixed

Reporting Source:	Broker
Employer Name:	Edward Jones
Termination Type:	Discharged
Termination Date:	02/11/2019
Allegations:	Loss of management confidence including concerns relating to the surrender of an investment.
Product Type:	Annuity-Fixed

End of Report

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