

BrokerCheck Report

HEATH SCOTT BARTLETT

CRD# 4424586

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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:
 - o 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
 - o 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.

**HEATH S. BARTLETT**

CRD# 4424586

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

- IA AMERIPRISE FINANCIAL SERVICES, LLC**
 1819 Main St Ste 1002
 10th Floor
 Sarasota, FL 34236
 CRD# 6363
 Registered with this firm since: 11/02/2017
- B AMERIPRISE FINANCIAL SERVICES, LLC**
 947A E Main St
 Lexington, SC 29072
 CRD# 6363
 Registered with this firm since: 11/02/2017

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
- 25 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA COMMONWEALTH FINANCIAL NETWORK**
 CRD# 8032
 WALTHAM, MA
 08/2011 - 11/2017
- B COMMONWEALTH FINANCIAL NETWORK**
 CRD# 8032
 LEXINGTON, SC
 08/2011 - 11/2017
- IA LPL FINANCIAL LLC**
 CRD# 6413
 FORT MILL, SC
 12/2007 - 07/2011

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
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 25 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	11/02/2017
B	FINRA	Invest. Co and Variable Contracts	Approved	11/02/2017

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	11/05/2021
B	California	Agent	Approved	01/15/2021
B	Colorado	Agent	Approved	11/02/2017
B	Connecticut	Agent	Approved	09/10/2024
B	District of Columbia	Agent	Approved	01/08/2020
B	Florida	Agent	Approved	11/02/2017
IA	Florida	Investment Adviser Representative	Approved	11/23/2020
B	Georgia	Agent	Approved	11/02/2017
B	Idaho	Agent	Approved	09/04/2025
B	Illinois	Agent	Approved	03/15/2022
B	Indiana	Agent	Approved	08/26/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kentucky	Agent	Approved	11/02/2017
B	Maine	Agent	Approved	09/10/2024
B	Maryland	Agent	Approved	12/20/2021
B	Massachusetts	Agent	Approved	06/14/2021
B	Montana	Agent	Approved	03/23/2022
B	New York	Agent	Approved	08/19/2022
B	North Carolina	Agent	Approved	11/02/2017
B	Ohio	Agent	Approved	10/03/2024
B	Pennsylvania	Agent	Approved	11/02/2017
B	South Carolina	Agent	Approved	11/02/2017
IA	South Carolina	Investment Adviser Representative	Approved	11/02/2017
B	Tennessee	Agent	Approved	11/02/2017
IA	Tennessee	Investment Adviser Representative	Approved	12/02/2024
B	Texas	Agent	Approved	11/02/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	11/02/2017
B	Virgin Islands	Agent	Approved	09/10/2024
B	Virginia	Agent	Approved	11/02/2017
B	Washington	Agent	Approved	11/13/2017

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
947A E Main St

Broker Qualifications



Employment 1 of 1, continued

Lexington, SC 29072

AMERIPRISE FINANCIAL SERVICES, LLC

1819 Main St Ste 1002

10th Floor

Sarasota, FL 34236

AMERIPRISE FINANCIAL SERVICES, LLC

Nashville, TN



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, 3 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 Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/09/2002

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	02/21/2003

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 08/2011 - 11/2017	COMMONWEALTH FINANCIAL NETWORK	8032	LEXINGTON, SC
B 08/2011 - 11/2017	COMMONWEALTH FINANCIAL NETWORK	8032	LEXINGTON, SC
IA 12/2007 - 07/2011	LPL FINANCIAL LLC	6413	LEXINGTON, SC
B 12/2007 - 07/2011	LPL FINANCIAL LLC	6413	LEXINGTON, SC
IA 09/2005 - 12/2007	CIC ADVISERS, LLC	130735	LEXINGTON, SC
B 01/2004 - 12/2007	CAPITAL INVESTMENT GROUP, INC.	14752	LEXINGTON, SC
B 12/2002 - 12/2003	W.C. SMITH & COMPANY, INC.	36865	GREENVILLE, SC

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	Lexington, SC, United States
11/2017 - 03/2020	Ameriprise Financial Advisors Inc.	Registered Representative	Y	Lexington, SC, United States
08/2011 - 11/2017	COMMONWEALTH FINANCIAL NETWORK	ADVISOR	Y	WALTHAM, MA, United States
03/2001 - 11/2017	CALMWATER FINANCIAL	REPRESENTATIVE	Y	LEXINGTON, SC, 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; 364 Longs Pond Road, , Lexington, SC, 29073; Investment-Related; 10/15/2019 / Commercial; 5551 Sunset

Registration and Employment History



Other Business Activities, continued

Blvd, , Lexington, SC, 29072; Investment-Related; 10/15/2019 / Commercial; 601 Lady Street, , Columbia, SC, 29201; Not Investment-Related; 08/05/2025. Business Ownership; Bartlett Holding, LLC; ; Commercial leased real estate; 943, 945,947, and 949 East Main St., Lexington, SC 29072, ,; Not Investment-Related; 06/01/2007; 1 to 9 hours per month; 1 to 9 during trading hours. Other Business Activities; blackICEdata; I'm very interested in all aspects of the future of Artificial Intelligence. I would like to place a \$100,000 personal investment into this A.I. supporting technology. This is a 100% passive personal investment that will not take any of my professional time away from my Ameriprise Financial business. BlackICEdata has created a technology that extends the life of hardware involved in data storage and reduces data storage energy cost and computing efficiencies with AI compatibility across all sectors. The capacity of hard drives needs to continue increasing to meet the demands of data growth. This team has developed unique to market aspects of HAMR "pronounced Hammer" (Heat-Assisted Magnetic Recording) alongside some of the most complex nanoscale recording technologies, enabling mass-capacity storage gains at unprecedented areal densities of 3TB/disk and beyond. HAMR requires a new media magnetic technology on each disk that allows data bits to become smaller and more densely packed than ever, while remaining magnetically and thermally stable. Then, to write new data, a small laser diode attached to each recording head momentarily heats a tiny spot on the disk, which enables the recording head to flip the magnetic polarity of a single bit at a time, enabling data to be written. Each bit is heated and cools down in a nanosecond, so the HAMR laser has no impact at all on drive temperature, or on the temperature, stability, or reliability of the media overall. According to the Advanced Storage Technology Consortium (ASTC), HAMR is the next significant storage technology innovation to increase the amount of data storage in the area available to store data; ½ known as the disk's "areal density." This boost in areal density will help fuel hard drive product development and growth through the next decade. ; 1120 South Rackham Way, Suite 300, Meridian, ID, 83642; Investment-Related; 09/04/2024; 0 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
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.

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:	LPL FINANCIAL LLC
Termination Type:	Discharged
Termination Date:	07/18/2011
Allegations:	PARTICIPATION IN A DISAPPROVED OUTSIDE BUSINESS ACTIVITY.
Product Type:	No Product

Reporting Source:	Broker
Employer Name:	LINSCO PRIVATE LEDGER
Termination Type:	Discharged
Termination Date:	07/18/2011
Allegations:	PARTICIPATION IN A DISAPPROVED OUTSIDE BUSINESS ACTIVITY.
Product Type:	No Product

End of Report



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