

BrokerCheck Report

LI-LIN HSU

CRD# 4706509

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5
Disclosure Events	6

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.



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

LI-LIN HSU

CRD# 4706509

This broker is not currently registered.

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 not currently registered.

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):

- B** AMERIPRISE FINANCIAL SERVICES, INC.
CRD# 6363
LOS ANGELES, CA
02/2006 - 04/2015
- B** AMERIPRISE FINANCIAL SERVICES, INC.
CRD# 6363
MINNEAPOLIS, MN
11/2005 - 12/2005

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
Regulatory Event	3
Customer Dispute	3
Termination	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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.

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	04/02/2015
B General Securities Representative Examination	Series 7	11/18/2005

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/01/2006
IA Uniform Investment Adviser Law Examination	Series 65	04/14/2006

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 02/2006 - 04/2015	AMERIPRISE FINANCIAL SERVICES, INC.	6363	LOS ANGELES, CA
B 11/2005 - 12/2005	AMERIPRISE FINANCIAL SERVICES, INC.	6363	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
04/2015 - Present	TRANSGLOBAL ADVISORY, LLC	INDEPENDENT CONTRACTOR OR EMPLOYEE FINANCIAL ADVISOR	Y	PASADENA, CA, United States
01/2006 - 03/2015	AMERIPRISE FINANCIAL SERVICES	INDEPENDENT CONTRACTOR OR EMPLOYEE FINANCIAL ADVISOR	Y	GLENDALE, 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.

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:**
 - 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
Regulatory Event	0	3	0
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 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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	02/26/2018
Docket/Case Number:	15-02285
Employing firm when activity occurred which led to the regulatory action:	n/a
Product Type:	No Product
Allegations:	Respondent Hsu failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Letter



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date: 02/26/2018

Sanctions Ordered: Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	Indefinite
Start Date:	02/26/2018
End Date:	

**Regulator Statement**

Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Hsu is suspended on February 26, 2018 for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.

Disclosure 2 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	02/29/2016
Docket/Case Number:	2015045016702
Employing firm when activity occurred which led to the regulatory action:	n/a
Product Type:	No Product
Allegations:	Respondent Hsu failed to respond to FINRA request for information.
Current Status:	Final
Action Appealed To:	SEC
Date Appeal filed:	07/05/2016
Appeal Limitation Details:	
Resolution:	Letter
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/01/2016
Sanctions Ordered:	Bar (Permanent)



If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 2

Sanction Type: Bar (Permanent)
Capacities Affected: All Capacities
Duration: Indefinite
Start Date: 06/01/2016

End Date:

Sanction 2 of 2

Sanction Type: Suspension
Capacities Affected: Any capacity
Duration: n/a
Start Date: 03/24/2016
End Date: 05/31/2016

Regulator Statement

Pursuant to FINRA Rule 9552(h) and in accordance with FINRA's Notice of Suspension and Suspension from Association letters dated February 29, 2016 and March 24, 2016, respectively, on June 1, 2016, Hsu is barred from association with any FINRA member in any capacity. Respondent failed to request termination of her suspension within three months of the date of the Notice of Suspension; therefore, she is automatically barred from association with any FINRA member in any capacity.



On July 5, 2016, the Securities and Exchange Commission (SEC) received an Application for Review of FINRA's bar from association by Respondent Hsu. The bar remains in effect pending review by the SEC.

SEC Admin Release 34-78899, September 21, 2016: the SEC issued an opinion and order which dismissed Hsu's application for review. Accordingly, Hsu remains barred pursuant to FINRA Rule 9552(h).
The decision became final November 21, 2016.

Disclosure 3 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	08/28/2015
Docket/Case Number:	2015045016701
Employing firm when activity occurred which led to the regulatory action:	n/a
Product Type:	No Product
Allegations:	Respondent Hsu failed to respond to FINRA request for information.
Current Status:	Final
Resolution:	Letter
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/21/2015
Sanctions Ordered:	Suspension



If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	any capacity
Duration:	n/a
Start Date:	09/21/2015
End Date:	12/02/2015

Regulator Statement

Pursuant to FINRA Rule 9552 and in accordance with FINRA's Notice of Suspension letter dated August 28, 2015, Hsu is suspended on September 21, 2015 from associating with any FINRA member firm in any capacity. If Hsu fails to request termination of the suspension within three months of the date of the Notice of Suspension, she will automatically be barred on December 1, 2015 from association with any FINRA member in any capacity pursuant to FINRA Rule 9552(h).

Suspension lifted on December 2, 2015.



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Ameriprise Financial Services, Inc.
Allegations:	Claimants allege that in August 2014, respondent Hsu advised them to purchase a failing unprofitable business for her personal gain and that Hsu illegally borrowed money from them.
Product Type:	Other: Outside business activity
Alleged Damages:	\$1,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA - CA
Docket/Case #:	17-00102
Date Notice/Process Served:	01/24/2017
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/17/2018
Monetary Compensation Amount:	\$100,000.00
Individual Contribution Amount:	\$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	California Superior Court
Location of Court:	Los Angeles County, CA
Docket/Case #:	KC067919
Date Notice/Process Served:	10/22/2015



Litigation Pending?	No
Disposition:	Other: Stayed pending arbitration.
Disposition Date:	01/24/2017
Firm Statement	Plaintiffs stipulated to arbitrate their claims against AFSI in FINRA arbitration. Ameriprise Financial settled with claimants for \$100,000. Claimants claims against Li-Lin Hsu are still pending.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC.
Allegations:	CLAIMANT ALLEGES THAT, IN 2015, HER ADVISOR, FORMERLY ASSOCIATED WITH RESPONDENT, MISAPPROPRIATED INVESTMENT FUNDS INTENDED FOR HER ACCOUNT. CLAIMANT REQUESTS \$805,370 PLUS INTEREST, OPPORTUNITY COSTS, AND UNSPECIFIED PUNITIVE DAMAGES.
Product Type:	No Product
Alleged Damages:	\$805,370.00
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 #:	15-02285
Filing date of arbitration/CFTC reparation or civil litigation:	09/25/2015

Customer Complaint Information

Date Complaint Received:	09/25/2015
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)



Status Date: 12/07/2015

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA - CA

Docket/Case #: [15-02285](#)

Date Notice/Process Served: 12/07/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/28/2017

Monetary Compensation Amount: \$675,000.00

Individual Contribution Amount: \$0.00

Firm Statement

This was a writtne customer complaint that became FINRA arbitration on 9/25/15 with RR as a subject. RR was added as a third-party respondent to the FINRA arbitration on 12/7/15. On 3/28/17, AFSI settled the FINRA arbitration case in order to avoid the costs associated with arbitration.



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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL
Allegations:	THE CLIENT'S ATTORNEY ALLEGED, DUE TO FINANCIAL TRANSACTIONS THAT WERE CONDUCTED IN HIS CLIENT'S ACCOUNTS WITHOUT THEIR KNOWLEDGE OR PERMISSION, HIS CLIENTS LOST APPROXIMATELY \$10,000 IN INTEREST.
Product Type:	No Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	THE CLIENT'S ATTORNEY REQUESTED TO RECEIVE ASSURANCE FROM AMERIPRISE THAT WHATEVER MISCONDUCT WAS PERPETRATED BY THE FORMER EMPLOYEE THAT HIS CLIENTS BE FULLY INDEMNIFIED BY AMERIPRISE. THE CLIENT'S ATTORNEY DID NOT REQUEST A SPECIFIC DOLLAR AMOUNT.
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:	05/19/2015
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/25/2015
Settlement Amount:	
Individual Contribution Amount:	



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: AMERIPRISE FNANCIAL

Allegations: THE CLIENT'S ATTORNEY ALLEGED DUE TO FINANCIAL TRANSACTIONS THAT WERE CONDUCTED IN HIS CLIENTS ACCOUNTS WITHOUT KNOWLEDGE OR PERMISSION, HIS CLIENTS LOST APPROXIMATELY \$10,000 IN INTEREST.

Product Type: No Product

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): THE CLIENTS ATTORNEY REQUESTED TO RECEIVE ASSURANCE FROM AMERIPRISE THAT HIS CLIENTS BE FULLY INDEMNIFIED BY AMERIPRISE.THE CLIENTS ATTORNEY DID NOT REQUEST A SPECIFIC DOLLAR AMOUNT.

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: 05/19/2015

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:



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: AMERIRPRISE FINANCIAL SERVICES, INC.

Termination Type: Discharged

Termination Date: 03/27/2015

Allegations: REGISTERED REPRESENTATIVE SUSPENDED ON 3/9/2015 AND TERMINATED ON 3/27/2015 FOR COMPANY POLICY VIOLATIONS RELATED TO MAINTAINING A BENEFICIARY RELATIONSHIP WITH A CLIENT, COMPLAINT HANDLING, COMMINGLING FUNDS, AND CONDUCTING BUSINESS WITH A FOREIGN CLIENT.

Product Type: No Product

Reporting Source: Broker

Employer Name: AMERIPRISE FINANCIAL SERVICES

Termination Type: Discharged

Termination Date: 03/27/2015

Allegations: REGISTERED REPRESENTATIVE SUSPENDED ON 3/9/2015 AND TERMINATED ON 3/27/2015 FOR COMPANY POLICY VIOLATIONS RELATED TO MAINTAINING A BENEFICIARY RELATIONSHIP WITH A CLIENT, COMPLAINT HANDLING, COMMINGLING OF FUNDS, AND CONDUCTING BUSINESS WITH A FOREIGN CLIENT

Product Type: No Product

Broker Statement AMERIPRISE CONCLUDED THE REGISTERED REPRESENTATIVE VIOLATED COMPANY POLICES RELATED TO THE FOLLOWING: MAINTAINING A BENEFICIARY RELATIONSHIP WITH A CLIENT, COMPLAINT HANDLING, COMMINGLING FUNDS, CONDUCTING BUSINESS WITH A FOREIGN CLIENT, AND REUSING PREVIOUSLY SUBMITTED CLIENT FORMS.

End of Report



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