BrokerCheck Report

THOMAS FRANCIS HEINRICHS

CRD# 4942126

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.

THOMAS F. HEINRICHS

CRD# 4942126

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

IA **AMERIPRISE FINANCIAL SERVICES, LLC**
1218 Millennium Pkwy Ste 1-3
Brandon, FL 33511
CRD# 6363
Registered with this firm since: 08/18/2015

B **AMERIPRISE FINANCIAL SERVICES, LLC**
1218 Millennium Pkwy Ste 1-3
Brandon, FL 33511
CRD# 6363
Registered with this firm since: 08/14/2015

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
- 20 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **JHS CAPITAL ADVISORS, LLC**
CRD# 112097
TAMPA, FL
05/2010 - 08/2015

B **JHS CAPITAL ADVISORS, LLC**
CRD# 112097
TAMPA, FL
05/2010 - 08/2015

IA **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
10/2009 - 02/2010

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	1
Customer Dispute	2
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 20 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	08/14/2015

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/22/2016
B	Arkansas	Agent	Approved	03/18/2020
B	California	Agent	Approved	06/08/2023
B	Colorado	Agent	Approved	09/15/2022
B	Florida	Agent	Approved	08/18/2015
IA	Florida	Investment Adviser Representative	Approved	08/18/2015
B	Georgia	Agent	Approved	06/13/2016
B	Indiana	Agent	Approved	09/27/2022
B	Maine	Agent	Approved	09/08/2020
B	Maryland	Agent	Approved	03/24/2021
B	Michigan	Agent	Approved	10/05/2023
B	Minnesota	Agent	Approved	08/26/2022

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	07/21/2023
B	New York	Agent	Approved	09/24/2018
B	North Carolina	Agent	Approved	08/14/2015
B	Ohio	Agent	Approved	12/07/2016
B	Tennessee	Agent	Approved	03/31/2020
B	Texas	Agent	Approved	08/30/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	08/30/2017
B	Utah	Agent	Approved	03/01/2021
B	Virginia	Agent	Approved	03/18/2021
B	Wisconsin	Agent	Approved	11/12/2018

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
1218 Millennium Pkwy Ste 1-3
Brandon, FL 33511

AMERIPRISE FINANCIAL SERVICES, LLC
brandon, FL

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 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	05/15/2007
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	05/03/2005

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	05/27/2008
B	Uniform Securities Agent State Law Examination	Series 63	06/02/2006

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
IA	05/2010 - 08/2015	JHS CAPITAL ADVISORS, LLC	112097	VALRICO, FL
B	05/2010 - 08/2015	JHS CAPITAL ADVISORS, LLC	112097	TAMPA, FL
IA	10/2009 - 02/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	TAMPA, FL
B	09/2009 - 02/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	TAMPA, FL
IA	06/2008 - 09/2009	MORGAN KEEGAN & COMPANY, INC.	4161	TRINITY, FL
B	02/2007 - 09/2009	MORGAN KEEGAN & COMPANY, INC.	4161	TRINITY, FL
B	05/2005 - 02/2007	AMSOUTH INVESTMENT SERVICES, INC.	15692	TALLAHASSEE, FL

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	Brandon, FL, United States
08/2015 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Tampa, FL, 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.

Business Ownership; Heinrichs Financial / Heinrichs Capital; It is my LLC for payroll purposes only. I spend no time promoting it. It is solely for income from my normal job at ameriprise to be deposited and used to pay off expenses for my job as a 1099 employee.; It is my LLC for payroll purposes only. I spend no time promoting it. It is solely for income from my normal job at Ameriprise to be deposited and used to pay off expenses for my job as a 1099 employee.; 1218 Millennium Parkway Suite 1-3, , Brandon, FL, 33511; Not Investment-Related; 09/03/2015; 0 hours per

Registration and Employment History

Other Business Activities, continued

month; 0 during trading hours / Corsa America Rally; Owner - all operations; corsa rally is an Exotic car rally that takes place around the us.; 521 vintage way, , brandon, FL, 33511; Not Investment-Related; 01/15/2014; 20 to 39 hours per month; 0 during trading hours / EXOTIC FEST; Owner of the business. Setting up a weekend event in Miami that is car related.; Its a car meet. Nothing investment or banking or tax related.; 521 vintage way, , brandon, FL, 33511; Not Investment-Related; 03/22/2019; 10 to 19 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:**
   - 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
Regulatory Event	0	1	0
Customer Dispute	0	2	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.

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA
Sanction(s) Sought:	Other: STIPULATION AND CONSENT AGREEMENT
Date Initiated:	02/16/2010
Docket/Case Number:	0053-SR-12/09
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	MORGAN KEEGAN & COMPANY
Product Type:	No Product
Allegations:	FOUR OF HEINRICHS CUSTOMERS HAD INAUTHENTIC SIGNATURES ON DOCUMENTS THAT WERE SUBMITTED TO MORGAN KEEGAN IN CONNECTION WITH TRANSACTIONS FOR WHICH HEINRICHS WAS RESPONSIBLE.
Current Status:	Final
Resolution:	Stipulation and Consent

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:	02/16/2010
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Other: MR. HEINRICHS AGREED TO WITHDRAW HIS APPLICATIONS FOR REGISTRATION AS AN ASSOCIATED PERSON OF BROKER DEALER AND INVESTMENT ADVISER; AGREED NOT TO APPLY FOR REGISTRATION WITH THE OFFICE FOR A PERIOD OF TEN (10) DAYS FROM THE DATE OF THE FINAL ORDER; AFTER SAID TIME, IF HEINRICHS SUBMITS AN APPLICATION AND THE OFFICE APPROVES SUCH APPLICATION, THEN HEINRICHS AGREES THAT THE REGISTRATION OR LICENSE SHALL BE SUBJECT TO A TWO (2) YEAR REGISTRATION AGREEMENT; AND AGREED TO PARTICIPATE IN AND COMPLETE THE S101 REGULATORY ELEMENT OF THE SECURITIES CONTINUING EDUCATION PROGRAM WITHIN NINETY (90) DAYS OF THE ENTRY OF THE FINAL ORDER.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	N/A
Is Payment Plan Current:	
Date Paid by individual:	02/16/2010
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	ON 2/16/2010, THE FLORIDA DIVISION OF SECURITIES ENTERED A STIPULATION AND CONSENT AGREEMENT WHICH WAS ADOPTED BY FINAL ORDER WHEREIN WITHOUT ADMITTING OR DENYING THE FINDINGS, MR. HEINRICHS CONSENTED TO THE FINDING THAT HE FAILED TO OBSERVE HIGH STANDARDS OF COMMERCIAL HONOR AND JUST AND EQUITABLE PRINCIPLES OF TRADE IN VIOLATION OF SECTION 517.161(1)(H), F.S., AND

RULE 69W-600.013(2)(H), F.A.C., WHICH INCORPORATE THE OBLIGATION TO OBSERVE HIGH STANDARDS OF COMMERCIAL HONOR AND JUST AND EQUITABLE PRINCIPLES OF TRADE SET FORTH IN NASD RULE 2110.

Reporting Source:	Broker
Regulatory Action Initiated By:	FLORIDA
Sanction(s) Sought:	Other: STIPULATION AND CONSENT AGREEMENT
Date Initiated:	02/16/2010
Docket/Case Number:	0053-SR-12/09
Employing firm when activity occurred which led to the regulatory action:	MORGAN KEEGAN & COMPANY
Product Type:	No Product
Allegations:	FOUR OF HEINRICHS CUSTOMERS HAD INAUTHENTIC SIGNATURES ON DOCUMENTS THAT WERE SUBMITTED TO MORGAN KEEGAN IN CONNECTION WITH TRANSACTIONS FOR WHICH HEINRICHS WAS RESPONSIBLE.
Current Status:	Final
Resolution:	Stipulation and Consent
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:	02/16/2010
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Other: MR. HEINRICHS AGREED TO WITHDRAW HIS APPLICATIONS FOR REGISTRATION AS AN ASSOCIATED PERSON OF BROKER DEALER AND INVESTMENT ADVISER; AGREED NOT TO APPLY FOR REGISTRATION WITH THE OFFICE FOR A PERIOD OF TEN (10) DAYS FROM THE DATE OF THE FINAL ORDER; AFTER SAID TIME, IF HEINRICHS SUBMITS AN APPLICATION AND THE OFFICE APPROVES SUCH APPLICATION, THEN HEINRICHS AGREES THAT THE REGISTRATION OR LICENSE SHALL BE SUBJECT TO A

TWO (2) YEAR REGISTRATION AGREEMENT; AND AGREED TO PARTICIPATE IN AND COMPLETE THE S101 REGULATORY ELEMENT OF THE SECURITIES CONTINUING EDUCATION PROGRAM WITHIN NINETY (90) DAYS OF THE ENTRY OF THE FINAL ORDER.

Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	N/A
Is Payment Plan Current:	
Date Paid by individual:	02/16/2010
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Advisor denied on the record to signing documents on behalf of clients, which were not sales related, but rather consolidated household forms. Advisor did admit to assisting clients fill in information on documents such as name, address, phone number, which a client would then sign. Unknown to the advisor, new firm policy changes in 2008 made filling in information for clients on documents clients have to sign disallowed, which caused him to be penalized by the State of Florida . Advisor agreed to State of Florida penalty so that he could get his practice up and running again.

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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MORGAN KEEGAN & COMPANY, INC.
Allegations:	CUSTOMER COMPLAINT ALLEGING MISREPRESENTATION OF TWO VARIABLE ANNUITIES PURCHASED IN DECEMBER 2007.
Product Type:	No Product
Alleged Damages:	$90,000.00
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:	09/22/2008
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	09/29/2008
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE CUSTOMER RESCINDED THE COMPLAINT VIA LETTER TO ADVISOR AND BRANCH MANAGER AND IN THAT LETTER THE CLIENT STATED THE INVESTMENT WAS SUITABLE FOR HIM AND HIS WIFE. HENCE, NO CLAIM PAID TO CLIENT."

Disclosure 2 of 2

Reporting Source:	Broker

Employing firm when activities occurred which led to the complaint:	MORGAN KEEGAN & COMPANY, INC.
Allegations:	WRITTEN COMPLAINT SUBMITTED BY [THIRD PARTY], POA ALLEGES NEGLIGENCE AGAINST THE FA IN REGARDS TO RMDS NOT TAKEN FROM HER MOTHER'S ANNUITY CONTRACTS FOR THE YEAR 2008. [THIRD PARTY] FURTHER ALLEGES NEGLIGENCE BY FA IN NOT REGISTERING ACCOUNTS CORRECTLY AND ALLEGES FORGERY ON DESIGNATED BENEFICIARY DOCUMENTS. SEE CASE #'S 2488 & 2302 FOR FURTHER DETAILS.
Product Type:	No Product
Alleged Damages:	$2,381.00
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:	03/03/2009
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/04/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	Complaint was made by the daughter of one of my clients who did not believe her brother would be made a larger majority beneficiary. Firm met with client who confirmed her signature. Daughter then asked for RMD penalty of her deceased father to be covered by the firm, which was rejected by the firm due to RMD's being the clients responsibility. Matter was closed with no action.

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:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Termination Type:	Permitted to Resign
Termination Date:	01/29/2010
Allegations:	PERMITTED TO RESIGN DUE TO MANAGEMENT'S LOSS OF CONFIDENCE RELATING TO STATE OF FLORIDA'S INVESTIGATION INTO THE REGISTERED REPRESENTATIVES' CONDUCT WITH HIS PRIOR FIRM.
Product Type:	No Product

Reporting Source:	Broker
Employer Name:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Termination Type:	Permitted to Resign
Termination Date:	01/29/2010
Allegations:	PERMITTED TO RESIGN DUE TO MANAGEMENT'S LOSS OF CONFIDENCE RELATING TO STATE OF FLORIDA'S INVESTIGATION INTO THE REGISTERED REPRESENTATIVES' CONDUCT WITH HIS PRIOR FIRM.
Product Type:	No Product

End of Report

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