IAPD Report

RONALD ALLEN GUILER

CRD# 1024920

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

User Guidance

www.adviserinfo.sec.gov

Report Summary

RONALD ALLEN GUILER (CRD# 1024920)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **08/31/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/01/2026
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/01/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	IFP SECURITIES, LLC	297287	MIAMI, FL	05/22/2019 - 08/31/2026
IA	INDEPENDENT FINANCIAL PARTNERS	125112	MIAMI, FL	12/20/2006 - 08/31/2026
B	LPL FINANCIAL LLC	6413	MIAMI, FL	09/08/2009 - 05/23/2019

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **No**

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**

Main Address: 901 3RD AVENUE SOUTH
MINNEAPOLIS, MN 55402

Firm ID#: 6363

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	09/01/2026
B	FINRA	General Securities Principal	Approved	09/01/2026
B	FINRA	General Securities Representative	Approved	09/01/2026
B	California	Agent	Approved	09/01/2026
IA	Florida	Investment Adviser Representative	Approved	09/01/2026
B	Indiana	Agent	Approved	09/01/2026
B	Minnesota	Agent	Approved	09/01/2026
B	New York	Agent	Temporary Registration	09/01/2026
B	Ohio	Agent	Approved	09/01/2026
B	Pennsylvania	Agent	Temporary Registration	09/01/2026
B	Tennessee	Agent	Temporary Registration	09/01/2026

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

Qualifications

350 E Las Olas Blvd
Ste 1700
Ft Lauderdale, FL 33301

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	08/26/1988

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/20/1986
B	Direct Participation Programs Representative Examination (S22)	Series 22	01/18/1982

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/24/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/22/2019 - 08/31/2026	IFP SECURITIES, LLC	CRD# 297287	MIAMI, FL
IA	12/20/2006 - 08/31/2026	INDEPENDENT FINANCIAL PARTNERS	CRD# 125112	MIAMI, FL
B	09/08/2009 - 05/23/2019	LPL FINANCIAL LLC	CRD# 6413	MIAMI, FL
B	01/30/2003 - 09/08/2009	MUTUAL SERVICE CORPORATION	CRD# 4806	MIAMI, FL
IA	09/15/2003 - 01/03/2007	MUTUAL SERVICE CORPORATION	CRD# 4806	MIAMI, FL
B	11/21/1996 - 12/31/2002	MUTUAL SERVICE CORPORATION	CRD# 4806	BOSTON, MA
B	03/15/1995 - 11/25/1996	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	03/08/1993 - 12/20/1994	QUEST CAPITAL STRATEGIES, INC.	CRD# 16783	LAGUNA HILLS, CA
B	08/06/1983 - 03/25/1991	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
B	01/27/1982 - 05/12/1983	FIRST FINANCIAL INVESTMENT SERVICES, INC	CRD# 10145	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2026 - Present	Ameriprise Financial Services, LLC	Registered Representative	Y	Ft. Lauderdale, FL, United States
05/2019 - 08/2026	IFP Securities, LLC	Registered Representative	Y	Miami, FL, United States
12/2006 - 08/2026	INDEPENDENT FINANCIAL PARTNERS	INVESTMENT ADVISORY REPRESENTATIVE	Y	MIAMI, FL, United States
12/1972 - 08/2026	EXECUTAX CORP	PRESIDENT - PRESIDENT	N	MIAMI, FL, United States
09/2009 - 05/2019	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	MIAMI, FL, United States

Registration & Employment History

EMPLOYMENT HISTORY

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

End of Report

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