IAPD Report

ROGER EDWIN SULHOFF

CRD# 1057321

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

Report Summary

ROGER EDWIN SULHOFF (CRD# 1057321)

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 **03/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/28/2019
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/28/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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
IA	THE STRATEGIC FINANCIAL ALLIANCE	126514	GAINESVILLE, GA	07/19/2010 - 10/29/2019
B	THE STRATEGIC FINANCIAL ALLIANCE, INC.	126514	GAINESVILLE, GA	06/21/2010 - 10/29/2019
IA	ONEAMERICA SECURITIES, INC.	4173	GAINESVILLE, GA	04/17/2003 - 07/16/2010

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4

User Guidance

www.adviserinfo.sec.gov

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 **21** 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	General Securities Principal	Approved	10/28/2019
B	FINRA	General Securities Representative	Approved	10/28/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	10/28/2019
B	FINRA	Investment Co./Variable Contracts Prin	Approved	10/28/2019
B	Alabama	Agent	Approved	10/30/2019
B	Arizona	Agent	Approved	10/28/2019
B	California	Agent	Approved	02/03/2020
B	Colorado	Agent	Approved	11/05/2019
B	Delaware	Agent	Approved	01/30/2023
B	Florida	Agent	Approved	10/28/2019
B	Georgia	Agent	Approved	10/30/2019
IA	Georgia	Investment Adviser Representative	Approved	10/30/2019
B	Idaho	Agent	Approved	05/22/2024

Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	12/10/2019
B	Indiana	Agent	Approved	12/22/2025
B	Kansas	Agent	Approved	06/16/2021
B	Louisiana	Agent	Approved	11/15/2024
B	Maryland	Agent	Approved	01/19/2024
B	Montana	Agent	Approved	08/03/2021
B	North Carolina	Agent	Approved	11/06/2019
B	Ohio	Agent	Approved	11/05/2020
B	South Carolina	Agent	Approved	11/05/2019
B	Tennessee	Agent	Approved	10/15/2020
B	Texas	Agent	Approved	10/28/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	10/28/2019
B	Utah	Agent	Approved	11/13/2019
B	Virginia	Agent	Approved	10/31/2019

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
329 Oak St Ste 202
Gainesville, GA 30501

AMERIPRISE FINANCIAL SERVICES, LLC
Jasper, GA

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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	05/21/1999
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	02/08/1988

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	05/17/1999
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/02/1982

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/04/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/03/1982

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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
IA	07/19/2010 - 10/29/2019	THE STRATEGIC FINANCIAL ALLIANCE	CRD# 126514	GAINESVILLE, GA
B	06/21/2010 - 10/29/2019	THE STRATEGIC FINANCIAL ALLIANCE, INC.	CRD# 126514	GAINESVILLE, GA
IA	04/17/2003 - 07/16/2010	ONEAMERICA SECURITIES, INC.	CRD# 4173	GAINESVILLE, GA
B	05/17/2002 - 07/16/2010	ONEAMERICA SECURITIES, INC.	CRD# 4173	GAINESVILLE, GA
IA	06/18/2010 - 07/07/2010	THE STRATEGIC FINANCIAL ALLIANCE	CRD# 126514	GAINESVILLE, GA
B	08/14/2000 - 06/12/2002	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	PHOENIX, AZ
B	04/06/1995 - 08/18/2000	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	10/05/1992 - 04/13/1995	IFG NETWORK SECURITIES, INC.	CRD# 19948	ATLANTA, GA
B	01/29/1991 - 12/31/1992	PLANNED INVESTMENTS INC.	CRD# 5066	ATLANTA, GA
B	09/24/1990 - 12/31/1991	IFG NETWORK SECURITIES, INC.	CRD# 19948	ATLANTA, GA
B	08/04/1982 - 09/24/1990	FIRST AMERICAN NATIONAL SECURITIES, INC.	CRD# 10111	DULUTH, GA

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
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Gainesville, GA, United States
10/2019 - 03/2020	Ameriprise Financial Services, Inc.	Registered Representative	Y	Gainesville, GA, United States
06/2010 - 10/2019	THE STRATEGIC FINANCIAL ALLIANCE, INC.	REGISTERED REP / IAR	Y	ATLANTA, GA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2002 - 10/2019	PRIVATE CLIENT ADVISORY, INC.	FAMILY WEALTH COUNSEL	N	GAINESVILLE, GA, United States

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.

Business Ownership; NancyE III, LLC; managing member,a single person LLC.; services, rentals.; Circle of Light Drive, , Gainesville, GA, 30506; Not Investment-Related; 12/28/2015; 1 to 9 hours per month; 0 during trading hours / Yachtsman Capital Resourses; single owner.; a pass through corp to manage tax reporting on expenses.Also, hold a real estate parcel. Used as a personal estate planning tool, also.; 6051 circle of light drive, , gainesville, GA, 00000; Not Investment-Related; 12/20/2007; 1 to 9 hours per month; 0 during trading hours / NancyE IV, LLC; Owner; NancyE IV, LLC Georgia corp. (Very similar to existing LLC; NancyE III. charter rental of my sailboat through a professional charter and vessel management company. primary goal is for personal recreation with expenses of owning and maintaining boat covered by a professional services company from charter operations.; 12093 Big Canoe, , Big Canoe , GA, 30143; Not Investment-Related; 07/12/2023; 1 to 9 hours per month; 0 during trading hours.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	4

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ONEAMERICA SECURITIES, INC
Allegations:	ALLEGE THAT THE REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS AND MISREPRESENTED THE CHARACTERISTICS OF TENANT IN COMMON
Product Type:	Real Estate Security
Alleged Damages:	$100,001.00
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 DISPUTE RESOLUTION
Docket/Case #:	14-01101
Filing date of arbitration/CFTC reparation or civil litigation:	05/11/2014

Customer Complaint Information

Date Complaint Received:	05/16/2014
Complaint Pending?	No

Status:	Settled
Status Date:	11/17/2015
Settlement Amount:	$58,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ONEAMERICA SECURITIES, INC
Allegations:	ALLEGE THAT THE REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS AND MISREPRESENTED THE CHARACTERISTICS OF TENANT IN COMMON
Product Type:	Real Estate Security
Alleged Damages:	$100,001.00
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 DISPUTE RESOLUTION
Docket/Case #:	14-01101
Filing date of arbitration/CFTC reparation or civil litigation:	05/11/2014

Customer Complaint Information

Date Complaint Received:	05/16/2014
Complaint Pending?	No
Status:	Settled
Status Date:	11/17/2015
Settlement Amount:	$58,000.00
Individual Contribution Amount:	$0.00
Broker Statement	REPRESENTATIVE DISAGREES THAT TIC WAS UNSUITABLE. CLIENT WAS EXPERIENCED IN THE REAL ESTATE BUSINESS AND HAD BEEN REFERRED TO REPRESENTATIVE BY HIS ATTORNEY. THE TIC HAS NOT PERFORMED AS ANTICIPATED RESULTING IN CLIENT'S COMPLAINT. REPRESENTATIVE FOLLOWED ALL THE FIRM'S PROCEDURES FOR OFFERING SUCH PRODUCTS. CLIENT RECEIVED ALL OFFERING MATERIALS, WHICH DISCLOSED RISKS ASSOCIATED WITH THE INVESTMENT.

Disclosure 2 of 4

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint:	ONEAMERICA SECURITIES, INC.
Allegations:	ALLEGATIONS ALLEGES THAT THE REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS AND MISREPRESENTED THE CHARACTERISTICS OF TENANCIES IN COMMON (TICS) AND DELAWARE STATUTORY TRUST(DSTS) INVESTMENTS.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGED DAMAGES COULD NOT BE DETERMINED AT THIS TIME.
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 DISPUTE RESOLUTION
Docket/Case #:	13-00476
Filing date of arbitration/CFTC reparation or civil litigation:	02/14/2013

Customer Complaint Information

Date Complaint Received:	03/04/2013
Complaint Pending?	No
Status:	Settled
Status Date:	06/27/2014
Settlement Amount:	$500,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ONEAMERICA SECURITIES, INC.
Allegations:	CLIENT ALLEGES THAT THE REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS AND MISREPRESENTED THE CHARACTERISTICS OF TENANCIES IN COMMON (TICS) AND DELAWARE STATUTORY TRUSTS (DSTS) INVESTMENTS.
Product Type:	Real Estate Security
Alleged Damages:	$0.00

Alleged Damages Amount Explanation (if amount not exact): EMPLOYING FIRM COULD NOT DETERMINE ALLEGED DAMAGES AT THIS TIME.

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 DISPUTE RESOLUTION

Docket/Case #: 13-00476

Filing date of arbitration/CFTC reparation or civil litigation: 02/14/2013

Customer Complaint Information

Date Complaint Received: 03/04/2013

Complaint Pending? No

Status: Settled

Status Date: 06/27/2014

Settlement Amount: $500,000.00

Individual Contribution Amount: $0.00

Broker Statement ONEAMERICA SETTLED THE CASE BUT THE REPRESENTATIVE DID NOT PARTICIPATE IN THE SETTLEMENT. REPRESENTATIVE DENIES TRANSACTION WAS UNSUITABLE, HE PROVIDED CLIENT WITH ALL OFFERING DOCUMENTS WHICH INCLUDED RISK DISCLOSURES, AND FOLLOWED ALL FIRM PROCEDURES.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ONEAMERICA SECURITIES, INC

Allegations: CUSTOMER'S INVESTMENT PORTFOLIO WAS DESIGNED IN JUNE 2002 FOR GROWTH AND INCOME. CUSTOMER'S ACTUAL EXPENDITURES FROM JUNE 2002 TO JUNE 2007 EXCEEDED INCOME PROVIDED BY THE PORTFOLIO

Product Type: Other

Other Product Type(s): SEPERATE MANGAGED ACCOUNTS UNDER THIRD PARTY INVESTMENT MANAGER- VARIABLE ANNUITY, VARIABLE LIFE INSURANCE AND REAL ESTATE TRUSTS AND PARTNERSHIPS.

Alleged Damages: $0.00

Customer Complaint Information

Date Complaint Received: 02/11/2008

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/11/2008

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA CASE #: 03-00337

Date Notice/Process Served: 02/11/2008

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/27/2009

Monetary Compensation Amount: $300,000.00

Individual Contribution Amount: $150,000.00

Broker Statement CUSTOMER SPENDING FAR EXCEEDED PLANNED AMOUNTS. REPRESENTATIVE INFORMED CUSTOMER ON A CONTINUOUS BASIS HE COULD NOT TAKE DISCRETIONARY AUTHORITY OF HER MONEY.
***
WITH REGARD TO THE AMOUNT SOUGHT BY PLAINTIFF, NO SPECIFIC AMOUNT HAS BEEN CLAIMED AND, AFTER INVESTIGATION, NO SPECIFIC AMOUNT HAS BEEN IDENTIFIED

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SUNAMERICA SECURITIES, INC.

Allegations: CLIENT ALLEGES SHE DID NOT KNOW SHE WOULD BE ASSESSED FEES/PENALTIES IF SHE LIQUIDATED FUNDS SHE WAS INVESTED IN.

Product Type: Mutual Fund(s)

Other Product Type(s): ANNUITY

Alleged Damages: $8,382.05

Customer Complaint Information

Date Complaint Received: 07/16/2001

Complaint Pending? No

Status: Denied

Status Date: 09/14/2001

Settlement Amount:

Individual Contribution Amount:

Firm Statement: CLIENT RECEIVED DISCLOSURE REGARDING ALL FEES AND CHARGES

Firm Statement	CLIENT RECEIVED DISCLOSURE REGARDING ALL FEES AND CHARGES ASSOCIATED WITH INVESTMENTS.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SUNAMERICA SECURITIES, INC.
Allegations:	CLIENT REQUESTS REIMBURSEMENT IN AMOUNT OF $8,382.06 FOR REFUND OF CONTINGINET DEFERRED SALES CHARGE ON "B" AND "C" SHARE MUTUAL FUNDS REDEEMED DURING CDSC PERIOD DURING MARCH AND APRIL OF YEAR 2000.
Product Type:	Mutual Fund(s)
Alleged Damages:	$8,382.06

Customer Complaint Information

Date Complaint Received:	01/19/2001
Complaint Pending?	No
Status:	Denied
Status Date:	09/14/2001
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT RECEIVED DISCLOSURE REGARDING ALL FEES AND CHARGES ASSOCIATED WITH INVESTMENTS.

End of Report

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