



## IAPD Report

# JAMES PATRICK ROBERTSON

CRD# 1082420

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Please contact FINRA with any concerns.



## 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

### JAMES PATRICK ROBERTSON (CRD# 1082420)

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 **02/05/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/23/2024
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/23/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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>B</b>	OSAIC WEALTH, INC.	23131	SPRING, TX	09/01/2023 - 04/26/2024
<b>IA</b>	OSAIC WEALTH, INC.	23131	SPRING, TX	09/01/2023 - 04/26/2024
<b>IA</b>	SAGEPOINT FINANCIAL, INC.	133763	SPRING, TX	08/18/2010 - 09/01/2023

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	1
Termination	2



## 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 **16** 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>B</b>	FINRA	General Securities Representative	Approved	04/23/2024
<b>B</b>	Colorado	Agent	Approved	04/23/2024
<b>B</b>	Florida	Agent	Approved	04/23/2024
<b>B</b>	Georgia	Agent	Approved	04/25/2024
<b>IA</b>	Georgia	Investment Adviser Representative	Approved	04/25/2024
<b>B</b>	Illinois	Agent	Approved	05/03/2024
<b>B</b>	Indiana	Agent	Approved	04/23/2024
<b>B</b>	Iowa	Agent	Approved	12/02/2024
<b>B</b>	Mississippi	Agent	Approved	04/23/2024
<b>B</b>	Montana	Agent	Approved	04/23/2024
<b>B</b>	New York	Agent	Approved	04/23/2024
<b>B</b>	North Carolina	Agent	Approved	05/01/2024
<b>B</b>	Ohio	Agent	Approved	04/23/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Oklahoma	Agent	Approved	09/16/2024
<b>B</b> South Carolina	Agent	Approved	04/23/2024
<b>B</b> Texas	Agent	Approved	04/23/2024
<b>IA</b> Texas	Investment Adviser Representative	Approved	04/23/2024
<b>B</b> Utah	Agent	Approved	04/23/2024
<b>B</b> Washington	Agent	Approved	04/23/2024

### Branch Office Locations

**AMERIPRISE FINANCIAL SERVICES, LLC**  
 2001 Timberloch Pl, Ste 500  
 Spring, TX 77380-1375

**AMERIPRISE FINANCIAL SERVICES, LLC**  
 506 W Jones St  
 Savannah, GA 31401-3114

**AMERIPRISE FINANCIAL SERVICES, LLC**  
 Spring, TX



## 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 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	05/17/2000
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/18/1983

#### State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	05/20/1983
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### PROFESSIONAL DESIGNATIONS

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

No information reported.



### 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	09/01/2023 - 04/26/2024	OSAIC WEALTH, INC.	CRD# 23131	SPRING, TX
IA	09/01/2023 - 04/26/2024	OSAIC WEALTH, INC.	CRD# 23131	SPRING, TX
IA	08/18/2010 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SPRING, TX
B	08/12/2010 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SPRING, TX
IA	10/23/2006 - 08/18/2010	LPL FINANCIAL CORPORATION	CRD# 6413	SHENANDOAH, TX
B	07/31/2006 - 08/18/2010	LPL FINANCIAL CORPORATION	CRD# 6413	SHENANDOAH, TX
IA	06/19/2000 - 06/12/2006	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	CONROE, TX
B	06/19/2000 - 06/12/2006	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	CONROE, TX
B	01/08/1999 - 06/16/2000	COMPASS BROKERAGE, INC.	CRD# 17086	BIRMINGHAM, AL
B	07/31/1995 - 01/07/1999	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	09/26/1994 - 07/03/1995	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	02/22/1983 - 09/21/1994	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY

#### 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
04/2024 - Present	Ameriprise Financial Services, LLC	Registered Representative	Y	Spring, TX, United States
09/2023 - 04/2024	OSAIC WEALTH, INC.	Mass Transfer	Y	SPRING, TX, United States
08/2010 - 09/2023	SAGEPOINT FINANCIAL, INC	REGISTERED REPRESENTATIVE	Y	PHOENIX, AZ, United States



## Registration & 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.

Real Estate Ownership; Single Family; 2610 Athis St., , New Orleans, LA, 70122; Investment-Related; 05/21/2021 / Single Family; 1911 Whitmarsh Way, , Savannah, GA, 31410; Not Investment-Related; 05/15/2021. Independent Insurance Brokering; Corebridge; 07/01/2010; Disability Income, Whole Life, Fixed Annuity, Group, Term Life, Health, Universal Life. Business Ownership; Mint Private Client Group Pllc; Owner; Manage Ameriprise Business; 2001 Timberloch PI, Suite 500, Spring, TX, 77380; Not Investment-Related; 07/01/2012; 1 to 9 hours per month; 1 to 9 during trading hours. Board of Directors; Westwood Magnolia Improvement District; Director; 32935 Tamina RD #104, , Magnolia , TX, 77354; Not Investment-Related; 07/01/2018; 1 to 9 hours per month; 1 to 9 during trading hours. Outside Employment; Mint Private Client Group Pllc.; Owner; Manage advisory business; 2001 Timberloch PI, , Spring, TX, 77380; Investment-Related; 01/01/2012; 40 to 59 hours per month; 20 to 39 during trading hours. Other Business Activities; Expert Witness; Present Value Calculations for Structured Settlement Transfers; 2001 Timberloch PI, Suite 500, Spring, TX, 77380; Not Investment-Related; 07/01/2012; 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	1
Termination	2

### 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 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	COMPASS BROKERAGE, INC.
<b>Allegations:</b>	CUSTOMER PURCHASED A VARIABLE ANNUITY CONTRACT IN MARCH, 2000. CUSTOMER ALLEGES THAT THE PRODUCT WAS UNSUITABLE, AND A CERTAIN RATE OF RETURN WAS GUARANTEED.
<b>Product Type:</b>	Annuity(ies) - Variable
<b>Alleged Damages:</b>	\$16,258.81

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/30/2001
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	03/15/2001

#### Settlement Amount:

#### Individual Contribution Amount:

<b>Firm Statement</b>	THE CONTRACT APPLICATION AND CUSTOMER PROFILE FORM DISCLOSED THE CHARACTERISTICS OF THIS ANNUITY, AND A NEEDS ANALYSIS AND INVESTMENT TIME HORIZON CONSISTANT WITH THE INVESTMENT SELECTION. BOTH WERE SIGNED BY THE CUSTOMER.
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UPON REVIEW, THE FIRM ELECTED TO DENY THIS COMPLAINT.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** COMPASS BROKERAGE, INC.

**Allegations:** CUSTOMER PURCHASES A VARIABLE ANNUITY CONTRACT IN MARCH 2000. CUSTOMER ALLEGES THAT THE PRODUCT WAS UNSUITABLE AND A CERTAIN RATE OF RETURN WAS GUARANTEED.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$16,258.81

**Customer Complaint Information**

**Date Complaint Received:** 01/30/2001

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/15/2001

**Settlement Amount:**

**Individual Contribution Amount:**



### Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

#### Disclosure 1 of 2

**Reporting Source:** Firm

**Firm Name:** LPL FINANCIAL

**Termination Type:** Discharged

**Termination Date:** 07/20/2010

**Allegations:** TERMINATED FOR CAUSE FOR SUBMITTING CUSTOMER FORMS WITHOUT LEGITIMATE CUSTOMER SIGNATURES.

**Product Type:** No Product

**Reporting Source:** Individual

**Firm Name:** LPL FINANCIAL

**Termination Type:** Discharged

**Termination Date:** 07/20/2010

**Allegations:** TERMINATED FOR CAUSE FOR SUBMITTING CUSTOMER FORMS WITHOUT LEGITIMATE CUSTOMER SIGNATURES.

**Product Type:** No Product

**Broker Statement** I SUBMITTED COPIES OF CUSTOMER-SIGNED LETTERS OF NON-SOLICITATION FORMS, ENTERED TRADE INFORMATION ON THE NEW FORM & PLACED THE ORIGINALLY- SIGNED FORM IN THE CUSTOMERS FILE. I REALIZE NOW THAT I DID NOT UNDERSTAND THE REQUIREMENTS TO SUBMIT FORMS WITH ORIGINAL SIGNATURES. FINRA REVIEWED THE CIRCUMSTANCES (FINRA # 20100239466), NOTING THAT THIS "WAS DONE AS AN APPARENT ACCOMODATION TO THE CUSTOMER, WHO DID NOT COMPLAIN, WAS NOT HARMED, AND COMPLETED THE TRANSACTION."

#### Disclosure 2 of 2

**Reporting Source:** Individual

**Firm Name:** RAYMOND JAMES FINANCIAL SERVICES

**Termination Type:** Discharged

**Termination Date:** 06/08/2006

**Allegations:** POTENTIAL SELLING AWAY, BLANK SIGNED LOA. 1.) EMPLOYM'T CONTRACT GAVE FA APPROVAL TO SERVICE FORMER VAR. ANN. CLIENT WHO ASKED FA TO HELP MOVE \$10K TO EXISTING VA HELD BY FA'S FORMER EMPLOYER. FA/CLIENT COMPLETED FORMS TO SELL NON-RJFS MF SHARES AND MOVE FUNDS. FA REASONABLY BELIEVED SUPERVISORY SIGNOFF UNNECESSARY. TRANSACTION NEVER COMPLETED. 2.) CLIENT SIGNED BLANK LOA TO OPEN NEW ACCOUNT. FORMS GIVEN TO ASS'T TO COMPLETE PROCESS BUT LOA TAKEN FROM ASS'T NEXT BUSINESS DAY BY OSJ BEFORE PROCESS COMPLETED.



**Product Type:**

No Product

**Broker Statement**

THE INITIAL FORM U5 FILED BY RJFS INDICATED THAT I WAS TERMINATED BECAUSE OF "POTENTIAL SELLING AWAY, BLANK SIGNED LOA". THERE WAS NO SELLING AWAY BECAUSE MY RJFS EMPLOYMENT AGREEMENT PERMITTED ME TO SERVICE MY ANNUITY ACCOUNTS AT MY PREVIOUS BROKER DEALER WITHOUT RJFS OSJ SUPERVISORY SIGNOFF. THE TRANSACTION (APRIL 2006) WAS NOT COMPLETED BECAUSE THE OTHER BROKER DEALER RETURNED THE EXECUTED FORMS TO RJFS. IN MAY 2006 A CLIENT WANTED TO TRANSFER MONEY FROM HIS IRA TO HIS CHECKING ACCOUNT AND WAS ASKED TO COMPLETE AND SIGN A LOA. THE CLIENT SIGNED THE FORM BUT DID NOT FILL IT OUT. THE FORM WAS GIVEN TO MY ASSISTANT TO COMPLETE BUT WAS CONFISCATED FROM HER BY THE BRANCH MANAGER BEFORE THE PROCESS WAS COMPLETED. AS A RESULT OF THE LANGUAGE PLACE ON THE INITIAL FORM U5 (JUNE 2006), MY PERSONAL AND PROFESSIONAL REPUTATION AS WELL AS MY ECONOMIC INTERESTS WERE SEVERLY DAMAGED. I FILED A CLAIM IN ARBITRATION AGAINST RJFS (FINRA DR #12-01755). THE ARBITRATORS FOUND THAT (1) THE U5 LANGUAGE WAS "INCOMPLETE, MISLEADING, AMBIGUOUS AND DEFAMATORY", AND (2) THE DEFAMATORY LANGUAGE AND RJFS'S "REFUSAL TO AMEND THE U5 WAS BOTH NEGLIGENT AND RECKLESS". THE ARBITRATORS AWARDED ME COMPENSATORY DAMAGES, INTEREST, AND REIMBURSEMENT FOR THE NON-REFUNDABLE PORTION OF FILING FEES. FURTHER, THE ARBITRATORS REQUIRED RJFS TO AMEND THE U5 WITH THE LANGUAGE NOW IN ITEM 4 ABOVE AND RECOMMENDED EXPUNGEMENT OF THEIR INITIAL RESPONSE TO ITEM 4. THE ARBITRATORS RECOMMENDED THAT I BE PERMITTED TO AMEND MY COMMENTS ON THE U5 TO MAKE APPROPRIATE REFERENCES TO THEIR AWARD.



## End of Report

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