



IAPD Report

WARREN WAYNE LOCKE

CRD# 1102676

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

WARREN WAYNE LOCKE (CRD# 1102676)

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 **02/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/25/2014
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/25/2014

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
IA	MUTUAL ADVISORS, LLC	167658	CHICO, CA	07/01/2013 - 07/25/2014
B	MUTUAL SECURITIES, INC.	13092	CHICO, CA	03/11/1998 - 07/25/2014
IA	MUTUAL SECURITIES, INC.	13092	CHICO, CA	04/30/2008 - 07/09/2013

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
Criminal	1
Customer Dispute	1
Judgment/Lien	3



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	General Securities Principal	Approved	07/25/2014
B	FINRA	General Securities Representative	Approved	07/25/2014
B	California	Agent	Approved	07/25/2014
IA	California	Investment Adviser Representative	Approved	07/25/2014
B	Colorado	Agent	Approved	07/13/2022
B	Connecticut	Agent	Approved	02/28/2024
B	Georgia	Agent	Approved	07/19/2022
B	Idaho	Agent	Approved	02/19/2021
B	Maryland	Agent	Approved	07/25/2014
B	Nebraska	Agent	Approved	02/08/2022
B	Nevada	Agent	Approved	07/29/2022

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
250 Vallombrosa Ave
Suite 370



Qualifications

Chico, CA 95926-3976

AMERIPRISE FINANCIAL SERVICES, LLC
Chico, CA



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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/26/2001

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	05/21/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/29/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/31/1984



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	07/01/2013 - 07/25/2014	MUTUAL ADVISORS, LLC	CRD# 167658	CHICO, CA
B	03/11/1998 - 07/25/2014	MUTUAL SECURITIES, INC.	CRD# 13092	CHICO, CA
IA	04/30/2008 - 07/09/2013	MUTUAL SECURITIES, INC.	CRD# 13092	CHICO, CA
B	05/15/1990 - 03/24/1998	FIRST ASSOCIATED SECURITIES GROUP, INC.	CRD# 20597	CHICO, CA
B	07/11/1988 - 04/30/1990	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	04/01/1986 - 07/11/1988	BIRR, WILSON SECURITIES, INC.	CRD# 17569	
B	06/07/1983 - 04/01/1986	BIRR, WILSON & CO., INC.	CRD# 93	

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	Chico, CA, United States
07/2014 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Chico, CA, 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.

Outside Employment; Blue Oaks Management, LLC; Advisor with Blue Oaks Management, LLC an Ameriprise Financial Franchise; Manage advisory business; 250 Vallombrosa Ave, Suite 370, Chico, CA, 95926; Investment-Related; 05/14/2025; 60 hours per month; 60 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
Criminal	1
Customer Dispute	1
Judgment/Lien	3

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Charge Date:	06/24/1965
Charge Details:	2ND DEGREE BURGLARY
Felony?	
Current Status:	Final
Status Date:	07/11/1965
Disposition Details:	THREE YEARS PROBATION
Broker Statement	SEE OTHER SIDE.



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

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIRST ASSOCIATED SECURITIES GROUP, INC.

Allegations: MR LOCKE FAILED TO PROMPTLY SUBMIT CUSTOMER FUNDS TO DESIGNATED MUTUAL FUND COMPANIES. ALLEGED DAMAGES OF \$324.72

Product Type:

Alleged Damages: \$324.72

Customer Complaint Information

Date Complaint Received: 03/10/1998

Complaint Pending? No

Status: Closed/No Action

Status Date:

Settlement Amount:

Individual Contribution Amount:

Firm Statement Not Provided
WHILE REGISTERED WITH FIRST ASSOCIATED SECURITIES GROUP INC MR LOCKE EXCEPTED THE CLIENTS MUTUAL FUND APPLICATIONS AND CHECKS AND HELD THEM FOR 10 DAYS. HE THEM SUBMITTED THE APPLICATION UNDER HIS NEW BROKER DEALER.

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIRST ASSOCIATED SECURITIES GROUP INC

Allegations: MR LOCKE FAILED TO PROMPTLY SUBMIT CUSTOMER FUNDS TO DESIGNATED MUTUAL FUNDS COMPANIES DAMAGES ALLEGED \$324.72

Product Type: Mutual Fund(s)

Alleged Damages: \$324.72

Customer Complaint Information

Date Complaint Received: 03/10/1998

Complaint Pending? No



Status: Closed/No Action

Status Date: 03/07/1999

Settlement Amount:

**Individual Contribution
Amount:**



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 3

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$6,806.13
Judgment/Lien Type:	Tax
Date Filed with Court:	12/28/2012
Date Individual Learned:	01/04/2013
Type of Court:	IRS
Name of Court:	NONE
Location of Court:	BUTTE
Docket/Case #:	2013-0000719
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 3

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$33,327.05
Judgment/Lien Type:	Tax
Date Filed with Court:	12/02/2011
Date Individual Learned:	12/09/2011
Type of Court:	IRS
Name of Court:	NONE
Location of Court:	BUTTE
Docket/Case #:	2011-0041232
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 3

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$15,016.06
Judgment/Lien Type:	Tax
Date Filed with Court:	01/20/2010
Date Individual Learned:	01/27/2010
Type of Court:	IRS
Name of Court:	NONE



Location of Court:	BUTTE
Docket/Case #:	2010-0003367
Judgment/Lien Outstanding?	Yes



End of Report

This page is intentionally left blank.