IAPD Report

RONALD NOEL MASON

CRD# 1222513

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

RONALD NOEL MASON (CRD# 1222513)

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 **08/25/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	08/23/2018
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	08/23/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	RBC CAPITAL MARKETS, LLC	31194	SALT LAKE CITY, UT	01/27/2006 - 09/04/2018
IA	RBC CAPITAL MARKETS, LLC	31194	SALT LAKE CITY, UT	01/27/2006 - 09/04/2018
B	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO	07/01/2003 - 01/30/2006

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
Regulatory Event	1

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 **17** 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 Representative	Approved	08/23/2018
B	Alaska	Agent	Approved	08/23/2018
B	Arizona	Agent	Approved	01/28/2020
B	California	Agent	Approved	08/23/2018
B	Colorado	Agent	Approved	08/23/2018
B	Florida	Agent	Approved	08/23/2018
B	Idaho	Agent	Approved	08/23/2018
B	Montana	Agent	Approved	08/24/2018
B	Nevada	Agent	Approved	08/23/2018
B	New York	Agent	Approved	08/23/2018
B	Pennsylvania	Agent	Approved	08/27/2018
B	South Carolina	Agent	Approved	01/02/2025
B	Tennessee	Agent	Approved	08/25/2026

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	08/23/2018
IA	Texas	Investment Adviser Representative	Approved	08/23/2018
B	Utah	Agent	Approved	08/23/2018
IA	Utah	Investment Adviser Representative	Approved	08/23/2018
B	Vermont	Agent	Approved	12/16/2020
B	Washington	Agent	Approved	08/23/2018
B	Wyoming	Agent	Approved	05/22/2026

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
60 E South Temple St Ste 950
Salt Lake City, UT 84111-1004

AMERIPRISE FINANCIAL SERVICES, LLC
Bountiful, UT

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 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)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	05/31/1996
B	General Securities Representative Examination (S7)	Series 7	12/17/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/12/1993
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/23/1984

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
B	01/27/2006 - 09/04/2018	RBC CAPITAL MARKETS, LLC	CRD# 31194	SALT LAKE CITY, UT
IA	01/27/2006 - 09/04/2018	RBC CAPITAL MARKETS, LLC	CRD# 31194	SALT LAKE CITY, UT
B	07/01/2003 - 01/30/2006	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	07/01/2003 - 01/30/2006	WACHOVIA SECURITIES, LLC	CRD# 19616	PARK CITY, UT
IA	11/29/1993 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	PARK CITY, UT
B	08/17/1992 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	05/16/1989 - 08/28/1992	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	NEW YORK, NY
B	11/12/1984 - 06/22/1989	WILSON-DAVIS & CO., INC.	CRD# 3777	
B	12/21/1983 - 10/29/1984	RICHARDS INVESTMENTS	CRD# 3176	

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	Salt Lake City, UT, United States
08/2018 - 03/2020	Ameriprise Financial Services Inc	REGISTERED REP	Y	Salt Lake City, UT, United States
03/2008 - 08/2018	RBC CAPITAL MARKETS CORPORATION	FINANCIAL CONSULTANT	Y	SALT LAKE CITY, UT, 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; condo; 4000 Canyons Resort Drive, , Park City, UT, 84098; Not Investment-Related; 03/01/2018 / condo; 12080 E Big Cottonwood Canyon Road ESW #303, , Brighton, UT, 84121; Not Investment-Related; 05/05/2021.

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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	DEPARTMENT OF INSURANCE-STATE OF WYOMING
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	07/08/1998
Docket/Case Number:	98 - 03
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL SECURITIES
Product Type:	Insurance
Other Product Type(s):	
Allegations:	FINANCIAL ADVISOR WAS ORDERED TO APPEAR BEFORE A HEARING FOR THE REASON THAT THE RESPONDENT EITHER FAILED TO COMPLETE 10 HOURS OF CONTINUING EDUCATION FOR 1997 OR FAILED TO PROVIDE WRITTEN VERIFICATION OF COMPLETION OF THE REQUIRED CONTINUING EDUCATION.
Current Status:	Final
Resolution:	Other
Resolution Date:	08/28/1998
Sanctions Ordered:	Monetary/Fine $200.00
Other Sanctions Ordered:	

Sanction Details:	FINANCIAL ADVISOR DID NOT APPEAR AT THE HEARING SO A DEFAULT JUDGMENT WAS ENTERED AGAINST HIM. HIS LICENSE WAS SUSPENDED UNTIL PROOF THAT THE CONTINUING EDUCATION REQUIREMENTS ARE MET AND THE $200 FINE IS PAID.
Broker Statement	MR. MASON HAD, IN FACT, COMPLETED THE CONTINUING EDUCATION REQUIREMENTS. THE DEFAULT JUDGMENT WAS NOT ENTERED ON THE MERITS OF MR. MASON'S APPLICATION. IT WAS DUE TO A TECHNICAL PAPERWORK ERROR BY THE REGISTRATION DEPARTMENT IN FORWARDING THE MATERIALS TO THE STATE. MR. MASON WAS NOT NOTIFIED OF THE HEARING AND WAS UNAWARE OF THE IMPENDING DEFAULT IF THE MATERIALS WERE NOT TIMELY SUBMITTED.THE STATE OF WYOMING ISSUED AN ORDER TO REINSTATE HIS WYOMING INSURANCE LICENSE, AND THE $200 FINE WAS PAID

End of Report

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