



IAPD Report

JAMES PATRICK FOLEY

CRD# 1425205

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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

JAMES PATRICK FOLEY (CRD# 1425205)

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 **04/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	03/01/2019
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	03/01/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	ATLANTA, GA	01/01/2008 - 03/05/2019
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	ATLANTA, GA	01/01/2008 - 03/05/2019
B	A. G. EDWARDS & SONS, INC.	4	ATLANTA, GA	11/17/1992 - 01/03/2008

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
Customer Dispute	1
Termination	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 **22** 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	03/01/2019
B	FINRA	General Securities Sales Supervisor	Approved	03/01/2019
B	Alabama	Agent	Approved	01/07/2020
B	California	Agent	Approved	01/03/2020
B	Colorado	Agent	Approved	01/06/2020
B	Delaware	Agent	Approved	03/14/2025
B	Florida	Agent	Approved	03/01/2019
B	Georgia	Agent	Approved	03/05/2019
IA	Georgia	Investment Adviser Representative	Approved	03/05/2019
B	Idaho	Agent	Approved	03/04/2019
B	Maryland	Agent	Approved	01/03/2020
B	Michigan	Agent	Approved	04/22/2026
B	Missouri	Agent	Approved	01/16/2020



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	07/08/2024
B New Hampshire	Agent	Approved	09/25/2024
B New Jersey	Agent	Approved	01/08/2020
B New Mexico	Agent	Approved	07/24/2020
B New York	Agent	Approved	03/01/2019
B North Carolina	Agent	Approved	03/08/2019
B Pennsylvania	Agent	Approved	03/01/2019
IA Pennsylvania	Investment Adviser Representative	Approved	09/02/2025
B South Carolina	Agent	Approved	01/07/2020
B Tennessee	Agent	Approved	03/01/2019
B Texas	Agent	Approved	03/01/2019
IA Texas	Investment Adviser Representative	Restricted Approval	03/01/2019
B Virginia	Agent	Approved	03/01/2019
B Washington	Agent	Approved	01/03/2020

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
 1200 Abernathy Rd Ste 1750
 Atlanta, GA 30328-5662

AMERIPRISE FINANCIAL SERVICES, LLC
 Atlanta, GA

AMERIPRISE FINANCIAL SERVICES, LLC
 Mountain Top, PA





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





Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	03/29/2000
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	03/29/2000

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/19/1985

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	10/14/2003
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/09/1993
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/30/1985

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	01/01/2008 - 03/05/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	ATLANTA, GA
IA	01/01/2008 - 03/05/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	ATLANTA, GA
B	11/17/1992 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	ATLANTA, GA
IA	11/14/2003 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	ATLANTA, GA
B	06/17/1986 - 11/09/1992	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	10/23/1985 - 06/19/1986	BLINDER, ROBINSON & CO.,INC.	CRD# 5096	

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	Atlanta, GA, United States
03/2019 - 03/2020	AMERIPRISE FINANCIALSERVICES, INC	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, United States
11/2016 - 03/2019	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	ATLANTA, GA, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	ATLANTA, 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.

Real Estate Ownership; Single Family; 59 w Hartford stAshley pa 18706, ,; Investment-Related; 02/01/2016 / Commercial; 163 N main stMt. top pa 18707, ,; Investment-Related; 11/01/2018. Business Ownership; Ridgeview LLC; investor; real estate investment; 7640 Brigham DrAtlanta Ga 30350, ,; Investment-Related; 04/01/2018; 0 hours per month; 0 during trading hours / MNL, LLC; Owner; Real Estate; 163 N Main St, , Mountain Top, PA, 18707; Investment-Related; 09/26/2018; 1 to 9 hours per month; 0 during trading hours / Cavanaugh's Grille; owner; restaurant; 163 N Main StMt. Top Pa 18707, ,; Investment-Related; 12/01/2018; 1 to 9 hours per month; 0 during trading hours. Outside Employment; Emory University; professor - teach a class; ; Clifton RdAtlanta Ga, ,; Not Investment-Related; 01/01/2005; 1 to 9 hours per month; 0 during trading hours / marist school;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

coach - coach basketball; ; ashford Dunwoody rdatlanta ga 30319, ; Not Investment-Related; 10/01/2005; 10 to 19 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
Regulatory Event	1
Customer Dispute	1
Termination	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:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/13/1993
Docket/Case Number:	07930021-AWC
Employing firm when activity occurred which led to the regulatory action:	PAINWEBBER
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/13/1993
Sanctions Ordered:	Censure Monetary/Fine \$10,000.00 Suspension
Other Sanctions Ordered:	

**Sanction Details:****Regulator Statement**

ON AUGUST 13, 1993, DISTRICT NO. 7 NOTIFIED JAMES P. FOLEY THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C07930021 WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR TWO WEEKS - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT FOLEY COMPLETED AN APPLICATION ON BEHALF OF A PUBLIC CUSTOMER FOR THE PURCHASE OF A \$125,000 ANNUITY WITHOUT THE KNOWLEDGE OR AUTHORIZATION OF THE CUSTOMER AND SIGNED THE CUSTOMER'S SIGNATURE ON THE APPLICATION IN ORDER TO FACILITATE THE PURCHASE).

PRESS RELEASE OCTOBER 1993: THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS OCTOBER 18, 1993 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS OCTOBER 29, 1993.

\$10,000 FULLY PAID AS OF 12/23/94 INVOICE #93-07-649

Reporting Source:

Firm

Regulatory Action Initiated By:

DISTRICT BUSINESS CONDUCT COMMITTEE

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

08/13/1993

Docket/Case Number:

07930021-AWC

Employing firm when activity occurred which led to the regulatory action:

PAINWEBBER

Product Type:**Other Product Type(s):****Allegations:**

ALLEGED THAT 8/31/92 (APPROX.) MR. FOLEY COMPLETED ON BEHALF OF A CUSTOMER AN APPLICATION FOR THE PURCHASE OF \$125K OF A PW ADVANTAGE ANNUITY W/O THE KNOWLEDGE/CONSENT OF SAID CUSTOMER & IN ORDER TO FACILITATE SAID PURCHASE SIGNED THE CUSTOMER'S SIGNATURE ON THE APPLICATION.

Current Status:

Final

Resolution:

Consent

Resolution Date:

08/13/1993

Sanctions Ordered:

Censure
Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:



Sanction Details:	PURSUANT TO A LETTER OF ACCEPTANCE, WAIVER & CONSENT MR. FOLEY AGREED TO A CENSURE, FINE OF \$10K & A SUSPENSION FROM THE ASSOCIATION FOR A PERIOD OF 2-WKS.
Firm Statement	Not Provided
.....	
Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/13/1993
Docket/Case Number:	07930021-AWC
Employing firm when activity occurred which led to the regulatory action:	PAINWEBBER
Product Type:	
Other Product Type(s):	
Allegations:	IT IS ALLEGED THAT I VIOLATED ARTICLE III, SECTION I OF THE NASD'S RULES OF FAIR PRACTICE. 7a. What is the product? PAINWEBBER ADVANTAGE ANNUITY
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/13/1993
Sanctions Ordered:	Censure Monetary/Fine \$10,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	I CONSENTED TO A SANCTION OF A CENSURE, A FINE OF \$10,000 AND A SUSPENSION OF TWO WEEKS. THIS IS IN CONNECTION WITH MY TERMINATION FROM PAINWEBBER.
Broker Statement	NOT PROVIDED 9a. What firm did the transaction take place? PAINWEBBER



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:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLAIMANT ALLEGES MISREPRESENTATION RELATED TO A REAL ESTATE INVESTMENT THAT OCCURRED IN AUGUST 2007. CLAIMANT REQUESTS DAMAGES OF AN UNSPECIFIED AMOUNT, BUT NOT LESS THAN \$400,000.
Product Type:	No Product
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT REQUESTS DAMAGES OF AN UNSPECIFIED AMOUNT, BUT NOT LESS THAN \$400,000.

Customer Complaint Information

Date Complaint Received: 12/29/2011

Complaint Pending?

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [11-04661](#)

Date Notice/Process Served: 12/29/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/07/2013

Monetary Compensation Amount: \$145,000.00

Individual Contribution Amount: \$43,000.00

Broker Statement I DENY ALL ALLEGATIONS MENTIONED IN THE COMPLAINT.
****WITHOUT ADMITTING ANY LIABILITY, THE FIRM SETTLED THE MATTER FOR \$145,000.00. THE FA-- JAMES PATRICK FOLEY WILL CONTRIBUTE \$43,000.00 TOWARDS SETTLEMENT PAYMENT.



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 1

Reporting Source:	Individual
Firm Name:	PAINWEBBER
Termination Type:	Discharged
Termination Date:	10/28/1992
Allegations:	N/A SIGNED CLIENT NAME TO AN APPLICATION - NEITHER FIRM NOR CUSTOMER SUFFERED A LOSS
Product Type:	
Other Product Types:	
Broker Statement	TERMINATION Not Provided



End of Report

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