IAPD Report

STEPHEN MICHAEL WESTLAKE

CRD# 1435643

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

STEPHEN MICHAEL WESTLAKE (CRD# 1435643)

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 **01/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	NORTHROCK PARTNERS, LLC	CRD# 167908	07/10/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Roseville, CA	12/15/1997 - 07/14/2025
B	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Roseville, CA	11/25/1985 - 07/14/2025
B	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	09/13/2000 - 07/03/2006

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
Criminal	1
Customer Dispute	8

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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **NORTHROCK PARTNERS, LLC**

Main Address: 225 SOUTH SIXTH STREET
SUITE 1400
MINNEAPOLIS, MN 55402

Firm ID#: 167908

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	07/11/2025
IA	Nevada	Investment Adviser Representative	Approved	07/17/2025

Branch Office Locations

NORTHROCK PARTNERS, LLC
Carson City, NV

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, 2 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	General Securities Representative Examination (S7)	Series 7	11/16/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/31/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/31/1994

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

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	12/15/1997 - 07/14/2025	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Roseville, CA
B	11/25/1985 - 07/14/2025	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Roseville, CA
B	09/13/2000 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
07/2025 - Present	NorthRock Partners, LLC	Advisor	Y	Roseville, CA, United States
03/2020 - 07/2025	Ameriprise Financial Services, LLC	Registered Rep	Y	Roseville, CA, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Granite Bay, 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.

Business Ownership; SCB Ventures; owner; Provides managment and employee services to operate the Westlake, Grahl, and Glover financial planning business; 3741 Douglas Blvd, Suite 290, , Roseville, CA, 95661; Not Investment-Related; 08/01/2020; 10 to 19 hours per month; 0 during trading hours / SCB Business Solutions; Member; Legal entity created to facilitate business pllanning for small business owners and manage professional alliance relationships. As consultants we provide expertise to promote the alignment of ideas and concepts to the needs of the business owners. In addition, we manage professional alliance relationships through contractual efforts of Employshare.; 3741 Douglas Blvd, Suite 290, , Roseville, CA, 95661; Not Investment-Related; 10/01/2011; 1 to 9 hours per month; 1 to 9 during trading hours. Board of Directors; Keaton's Childhood Cancer Alliance; Executive Board Member; 2260 Douglas Blvd, Ste 150, , Roseville, CA, 95661; Not Investment-Related; 02/28/2014; 10 to 19 hours per month; 1 to 9 during trading hours. Outside Employment; SCB Ventures, LLC; Member - owner; ; 3741 Douglas Blvd, Ste 290, , Roseville, CA, 95661; Not Investment-Related; 08/01/2020; 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
Criminal	1
Customer Dispute	8

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
Court Details:	SACRAMENTO MUNICIAPL COURT DISTRICT COUNTY OF SACRAMENTO STATE OF CALIFORNIA CASE NUMBER 20706M
Charge Date:	12/05/1978
Charge Details:	1. ONE COUNT VIOLATION OF SECTION 484 OF THE CALIFORNIA PENAL CODE. 2. MISDEMEANOR 3. GUILTY PLEA-SET ASIDE AND PLEA OF NOT GUILTY ENTERED & COMPLAINT DISMISSED ON FEBRUARY 2, 1982 4. NOT APPLICABLE
Felony?	No
Current Status:	Final
Status Date:	02/02/1982
Disposition Details:	A. DISMISSED B. FEBRUARY 2, 1982 C. NO SENTENCE OR PENALTY D. NONE E. NONE F. NONE G. NOT APPLICABLE
Broker Statement	I LEFT THE STONE WITH A WRENCH SOCKET WITHOUT PAYING FOR IT. ALTHOUGH THE VALUE OF THE ITEM WAS LESS THAN ONE DOLLAR. I WAS ARRESTED AS THE STONE HAD AN ANTI-THEFT POLICY THAT WAS STRICTLY ENFORCED.

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 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, LLC
Allegations:	The client alleged the investment he made in a real estate investment trust in December 2012 was misrepresented regarding the time frame in which he would be invested in the security.
Product Type:	Real Estate Security
Alleged Damages:	$60,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/31/2025
Complaint Pending?	No
Status:	Denied
Status Date:	11/20/2025
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC.
Allegations:	THE CLIENT ALLEGED THE BEHRINGER HARVARD OPPORTUNITY II, INC. REAL ESTATE INVESTMENT TRUST SHARES HE PURCHASED IN FEBRUARY 2009 AND DECEMBER 2009 WERE MISREPRESENTED TO HIM.
Product Type:	Real Estate Security
Alleged Damages:	$107,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC	No

reparation or civil litigation?

Customer Complaint Information

Date Complaint Received: 09/12/2014

Complaint Pending? No

Status: Denied

Status Date: 09/30/2014

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICE,INC.

Allegations: PLAINTIFFS ALLEGE UNSUITABLE MUTUAL FUND AND EQUITIES INVESTMENTS AND FAILURE TO RECOGNIZE PLAINTIFF AS SUCCESSOR TRUSTEE.

Product Type: Equity Listed (Common & Preferred Stock)
Other: TRUST

Alleged Damages: $200,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/18/2010

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 03/18/2010

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: State Court

Name of Court: SUPERIOR COURT FOR THE COUNTY OF SAN DIEGO

Location of Court: SAN DIEGO

Docket/Case #: 37-2010-00085465-CU-FR-CTL

Date Notice/Process Served: 03/18/2010

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/03/2012

Monetary Compensation Amount: $0.00

Individual Contribution Amount: $0.00

Broker Statement THE PARTIES SETTLED THIS MATTER. IN EXCHANGE FOR A FULL RELEASE OF CLAIMS,AMERIPRISE AGREED TO WAIVE ITS RIGHTS TO RECOVER COSTS ON APPEAL. NO MONEY WAS PAID TO THE CLAIMANTS IN SETTLEMENT.

Disclosure 4 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES INC

Allegations: CLIENTS ALLEGED THEY RECEIVED AN UNEXPECTED $33,000 GAIN FROM THE SELL OF MUTUAL FUND SHARES DECEMBER 30, 1999. THEY CLAIMED THIS OFFSET LOSSES THEY WANTED TO CARRY FORWARD AND AS A RESULT THEY COULD NOT USE THE LOSSES TO OFFSET CAPITAL GAINS IN 2005. THE CLIENTS ARE REQUESTING REIMBURSEMENT OF $8015.00 IN BOTH STATE AND FEDERAL TAXES FOR 2005.

Product Type: Mutual Fund(s)

Alleged Damages: $8,015.00

Customer Complaint Information

Date Complaint Received: 11/24/2006

Complaint Pending? No

Status: Settled

Status Date: 01/19/2007

Settlement Amount: $0.00

Individual Contribution Amount: $0.00

Broker Statement THIS WAS A SETTLEMENT OF A COMPLAINT MADE IN 2000 WHERE THE CLIENTS DID NOT CLAIM DAMAGES. THE CLIENTS WERE UNABLE TO DO SO UNTIL 2005 TAX YEAR AND SUBMITTED A CLAIM FOR DAMAGES NOVEMEBR 2006 WHICH WAS SETTLED FOR $8,015.00

Disclosure 5 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: THE CLIENT ALLEGED THAT NATIONWIDE PROVIDED INCORRECT INFORMATION TO ME THAT RESULTED IN THE CLIENT INCURREING SURRENDER CHARGES WHEN HE TRANSFERRED HIS 401(K) PLAN FROM NATIONWIDE TO FRANKLIN.

Product Type: Other

Alleged Damages: $32,000.00

Customer Complaint Information

Date Complaint Received: 01/06/2003

Complaint Pending? No

Status: Denied

Status Date: 04/24/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement AEFA FOUND THAT NATIONWIDE WAS RESPONSIBLE FOR PROVIDING THE INCORRECT INFORMATION EVEN THOUGH THE SURRENDER CHARGES WERE DISCLOSED IN THE DOCUMENTS THE CLIENTS SIGNED AT THE TIME HE SET UP THE 401K PLAN WITH NATIONWIDE.

Disclosure 6 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: THE CLIENT ALLEGED THAT I DID NOT GIVE HER ACCURATE INFORMATION ABOUT THE COSTS ASSOCIATED WITH TRANSFERRING HER ACCOUNTS TO ANOTHER FIRM. IN ADDITION, THE CLIENT ALLEGED TAT THE INVESTMENTS SHE PURCHASED, SUBSEQUENT TO MY RECOMMENDATIONS, WERE TOO AGGRESSIVE FOR HER STATED RISK TOLERANCE.

Product Type: Other

Other Product Type(s): STRATEGIC PORTFOLIO SERVICE ACCOUNTS

Alleged Damages: $100,000.00

Customer Complaint Information

Date Complaint Received: 12/19/2001

Complaint Pending? No

Status: Denied

Status Date: 02/22/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE REVIEW FOUND THAT THE INVESTMENTS THAT I RECOMMENDED TO THE CLIENT WERE IN LINE WITH HER STATED RISK TOLERANCE AND GOALS AND OBJECTIVES. THE FIRM WAS UNABLE TO DETERMINE IF I PROVIDED THE CLIENT WITH INACCURATE INFORMATION IN REGARD TO COSTS ASSOCIATED WITH TRANSFERRING HER PORTFOLIO TO ANOTHER FIRM.

Disclosure 7 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: CLIENT ALLEGED I DELAYED IN REQUESTING A STOCK PURCHASE FOR $203000.00 WORTH OF ROYALE ENERGY INC. (ROYL) WITHIN HIS WRAP ACCOUNT. HE CLAIMED TO HAVE REQUESTED IT AND BEEN UNDER THE IMPRESSION THAT THE TRADE WOULD BE PLACED ON MAY 18, 2001. THE TRADE WAS ENTERED ON MAY 18, 2001 AT 7:51 EST, AFTER THE MARKET HAD CLOSED. THE TRADE WAS FILLED ON MAY 21, 2001.

Product Type: Other

Other Product Type(s): WRAP ACCOUNT

Alleged Damages: $24,113.02

Customer Complaint Information

Date Complaint Received: 05/31/2001

Complaint Pending? No

Status: Denied

Status Date: 07/20/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM FOUND THAT THE CLIENT DID NOT MAKE THE FUNDS AVAILABLE, NOR REQUEST THE TRADE, UNTIL AFTER THE STOCK MARKET HAD CLOSED ON MAY 18, 2001. THE TRADE WAS PLACED ON MAY 18, 2001 AFTER THE MARKET'S CLOSING. AS THE STOCK IN QUESTIONS IS THINLY TRADED, THE TRADE FILLED IN SEVERAL BLOCKS ON MAY 21, 2001 WITHIN A REASONABLE PERIOD OF TIME.

Disclosure 8 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS INC

Allegations: THE CLIENT ALLEGED THAT I DID NOT FOLLOW HIS INSTRUCTIONS IN APRIL OF 2000 AND PURCHASED FUNDS THAT WERE HEAVILY INVESTED IN TECHNOLOGY STOCKS. THE CLIENT WOULD LIKE THE TRANSACTIONS THAT WERE PROCESSED REVERSED, WHICH WOULD CAUSE AN ESTIMATED AS-OF-COST OF APPROXIMATELY $51,000. THE CLIENT ALSO ALLEGED THAT I DID NOT PROCESS AN EXCHANGE IN THE AMOUNT OF $15,000 FROM HIS FUNDS TO HIS CASH ACCOUNT.

Product Type: Mutual Fund(s)

Alleged Damages: $51,000.00

Customer Complaint Information

Date Complaint Received:	04/06/2001
Complaint Pending?	No
Status:	Denied
Status Date:	06/05/2001
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	THE COMPANY REVIEW FOUND THAT THE CLIENT AUTHORIZED THE TRANSACTIONS THAT OCCURED IN APRIL 2000 AND THE FUND OBJECTIVES WERE DISCLOSED TO THE CLIENT AT THE TIME OF SALE. IN ADDITION, THE REVIEW FOUND THAT THE $15000.00 THAT THE CLIENT ALLEGED SHOULD HAVE BEEN TRANSFERRED TO THE CASH ACCOUNT WAS ALREADY IN THE ACCOUNT AND WAS BEING DOLLAR-COST AVERAGED TO FUNDS, PER THE CLIENT'S REQUEST.

End of Report

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