IAPD Report

DOUGLAS DEAN VANDER WEIDE

CRD# 2006093

Section Title | **Page(s)**

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

DOUGLAS DEAN VANDER WEIDE (CRD# 2006093)

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 **04/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VALIANT WEALTH, LLC	CRD# 146911	07/10/2008

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, INC.	6363	CLIVE, IA	01/01/1999 - 06/27/2008

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
Customer Dispute	10

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: **VALIANT WEALTH, LLC**

Main Address: 3408 WOODLAND AVE
SUITE 204
WEST DES MOINES, IA 50266

Firm ID#: 146911

	Regulator	Registration	Status	Date
IA	Tennessee	Investment Adviser Representative	Approved	08/12/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	01/21/2014

Branch Office Locations

VALIANT WEALTH, LLC
99 East Main
Suite 200
Franklin, TN 37064

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.

No information reported.

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

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	01/01/1999 - 06/27/2008	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	CLIVE, IA

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
07/2008 - Present	Valiant Wealth, LLC (fka VW ADVISORS LLC)	OWNER/Partner/Managing Member	Y	WEST DES MOINES, IA, United States
01/2014 - 01/2020	2 FISH 5 LOAVES, LLC	PARTNER	N	WEST DES MOINES, IA, 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.

1) 2 FISH, 5 LOAVES, LLC; NON-INVESTMENT RELATED;WEST DES MOINES, IA; FISH FARM, PARTNER; STARTED 01/2014; LESS THAN 10% OF TIME;

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	10

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 10

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC.
Allegations:	THE CLIENT ALLEGED THE RECOMMENDED VUL POLICY PURCHASED IN JUNE 2006 WAS MISREPRESENTED AT THE TIME OF SALE.
Product Type:	Insurance
Alleged Damages:	$166,998.88
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:	09/16/2011
Complaint Pending?	No
Status:	Denied
Status Date:	12/07/2011
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC.
Allegations:	THE CLIENT ALLEGED THE RECOMMENDED VUL POLICY PURCHASED IN JUNE 2006 WAS MISREPRESENTED AT THE TIME OF SALE.
Product Type:	Insurance
Alleged Damages:	$166,998.88
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:	09/16/2011
Complaint Pending?	No
Status:	Denied
Status Date:	12/07/2011
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 10

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES,INC.
Allegations:	THE CLIENT ALLEGED THE INSURANCE POLICY PURCHASED IN MAY 2007 WAS UNSUITABLE.
Product Type:	Insurance
Alleged Damages:	$39,190.39
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:	10/10/2009
Complaint Pending?	No
Status:	Settled
Status Date:	01/20/2010
Settlement Amount:	$19,595.20

Individual Contribution Amount:	$0.00
Firm Statement	THE FIRM FOUND THE PURCHASE OF THE LIFE INSURANCE POLICY MAY NOT HAVE BEEN IN ACCORD WITH THE CLIENT'S INVESTMENT GOALS AND OBJECTIVES.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES INC.
Allegations:	THE CLIENT ALLEDGED THE INSURANCE POLICY PURCHASED IN MAY 2007 WAS UNSUITABLE.
Product Type:	Insurance
Alleged Damages:	$39,190.39
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:	10/10/2009
Complaint Pending?	No
Status:	Settled
Status Date:	01/20/2010
Settlement Amount:	$19,595.20
Individual Contribution Amount:	$0.00
Broker Statement	THIS INSURANCE POLICY WAS DISCUSSED IN DETAIL, AND CLIENT UNDERSTOOD AND AGREED TO THE POLICY AT THE TIME OF PURCHASE. CLIENT SIGNED APPROPRIATE APPLICATIONS AND DISCLOSURES. AS THIS COMPLAINT WAS MADE AFTER DOUG HAD LEFT AMERIPRISE, HE WAS NOT GIVEN THE OPPORTUNITY TO PROVIDE SUPPORT PROVING SUITABILITY. IN THE INTEREST OF CLIENT RELATIONS, AMERIPRISE REFUNDED THE SURRENDER CHARGES ON THE POLICY, $19,595.20. NO DAMAGES WERE AWARDED.

Disclosure 3 of 10

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES INC
Allegations:	THE CLIENT ALLEGES HE RECEIVED POOR ADVICE WHEN HE PURCHASED THE VARIABLE UNIVERSAL LIFE POLICY IN 1999.
Product Type:	Insurance
Alleged Damages:	$86,476.20

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:	08/12/2009
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	09/02/2009
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THE FIRM REVIEWED THE INSURANCE POLICY AND IT WAS COVERED UNDER A CLASS ACTION LAWSUITE; THEREFORE NO FURTHER SETTLEMENTS COULD BE OFFERED.

Disclosure 4 of 10

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES,INC,
Allegations:	THROUGH THEIR ATTORNEY, THE CLIENTS ALLEGED THAT FROM NOVEMBER 2001 THROUGH JUNE 2008. MR VANDER WEIDE WAS CHARGING AN ANNUAL 1% MANAGEMENT FEE IN THE FORM OF A FINANCIAL PLANNING FEE IN ADDITION TO COMMISSIONS. THE COMPLAINT ALSO ALLEGED THAT MR.VANDER WEIDE MADE UNSUITABLE INSURANCE RECOMMENDATIONS.
Product Type:	Insurance
Other Product Type(s):	STRATEGIC PORTFOLIO SERVICESS (SPS) VARIABLE UNIVERSAL LIFE (VUL) FINANCIAL ADVISORY SERVICES (FAS)
Alleged Damages:	$200,000.00

Customer Complaint Information

Date Complaint Received:	02/18/2009
Complaint Pending?	No
Status:	Denied
Status Date:	03/06/2009
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THE FIRM FOUND NO MERIT TO THE CLAIMS MADE BY THE CLIENT'S ATTORNEY.

Disclosure 5 of 10

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES,INC,
Allegations:	CLIENTS ALLEGED THE ADVISOR RECOMMENDED AN INAPPROPRIATE VARIABLE ANNUITY WITHOUT PROPERLY DISCLOSING ANNUITY PROVISIONS AND SURRENDER CHARGES. ANNUITY PURCHASED MAY 2, 2006.
Product Type:	Annuity-Variable
Alleged Damages:	$6,957.17
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:	02/03/2009
Complaint Pending?	No
Status:	Denied
Status Date:	09/03/2009
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THE FIRM FOUND THE CLIENT MET WITH THE ADVISOR,SIGNED THE APPLICATION AND DISCLOSURE DOCUMENTS, AND RECEIVED THE CONTRACT. THE ANNUITY APPEARED TO MEET THE CLIENT'S OBJECTIVES AND INVESTMENT TIMEFRAME.

Disclosure 6 of 10

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICE,INC.
Allegations:	THE CLIENT ALLEGED THAT AS EARLY AS JULY 13, 2006, MR.VANDER WEIDE PROVIDED AND INACCURATE INFORMATION REGARDING HIS VARIABLE UNIVERSAL LIFE (VUL) INSURANCE POLICY;WRONGFULLY ADVISED AGAINST CONTRIBUTIONS TO A SOLO401K AND 503B COLLEGE FUND;AND, DISCOURAGED HIM FROM CONSIDERING OTHER INVESTMENTS.
Product Type:	Insurance
Other Product Type(s):	VARIABLE UNIVERSAL LIFE (VUL) SOLO401K 503B
Alleged Damages:	$81,850.00

Customer Complaint Information

Date Complaint Received: 01/22/2009

Complaint Pending? No

Status: Settled

Status Date: 04/28/2009

Settlement Amount: $52,930.00

Individual Contribution Amount: $0.00

Firm Statement THE CLIENTS AND FIRM REACHED AN AGREEMENT TO WAIVE THE CLIENT'S VARIABLE UNIVERSAL LIFE INSURANCE POLICY SURRENDER CHARGES TOTALING $52,930.00

Reporting Source: Individual

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

Allegations: THE CLIENT ALLEGED THAT AS EARLY AS JULY 13, 2006, MR. VANDER WEIDE PROVIDED INACCURATE INFORMATION REGARDING HIS VARIABLE UNIVERSAL LIFE (VUL) INSURANCE POLICY; WRONGFULLY ADVISED AGAINST CONTRIBUTIONS TO A SOLO 401K AND 503B COLLEGE FUND; AND DISCOURAGED HIM FROM CONSIDERING OTHER INVESTMENTS.

Product Type: Insurance

Alleged Damages: $81,850.00

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: 01/22/2009

Complaint Pending? No

Status: Settled

Status Date: 04/28/2009

Settlement Amount: $52,930.00

Individual Contribution Amount: $0.00

Broker Statement THIS INSURANCE POLICY WAS DISCUSSED IN DETAIL, AND CLIENT UNDERSTOOD AND AGREED TO THE POLICY AT THE TIME OF PURCHSE. CLIENT SIGNED APPROPRIATE APPLICATIONS AND DISCLOSURES. AS THIS COMPLAINT WAS MADE AFTER DOUG HAD LEFT AMERIPRISE, HE WAS NOT GIVEN THE OPPORTUNITY TO PROVIDE SUPPORT PROVING SUITABILITY. IN THE INTEREST OF CLIENT RELATIONS, AMERIPRISE REFUNDED THE SURRENDER CHARGES ON THE POLICY, $52,930.00. NO DAMAGES WERE AWARDED.

Disclosure 7 of 10

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES,INC.
Allegations:	THE CLIENTS ALLEGED THAT AS EARLY AS JUNE 2006,MR.VANDER WEIDE DID NOT EXPLAIN A FINANCIAL ADVISORY SERVICES FEE OR ACCOUNT MANAGEMENT FEES, PROVIDED POOR SERVICE, AND PROMISED TO REIMBURSE A FEE INCURRED WHILE THEIR ACCOUNTS WERE MANAGED BY A DIFFERENT FINANCIAL ADVISOR.
Product Type:	Mutual Fund(s)
Other Product Type(s):	STRATEGIC PORTFOLIO SERVICES. FINANCIAL ADVISORY SERVICES.
Alleged Damages:	$10,000.00

Customer Complaint Information

Date Complaint Received:	01/25/2009
Complaint Pending?	No
Status:	Settled
Status Date:	02/23/2009
Settlement Amount:	$9,837.50
Individual Contribution Amount:	$0.00
Firm Statement	THE CLIENTS ACCEPTED THE FIRM'S OFFER TO REFUND THEIR 2006 FINANCIAL ADVISORY SERVICES FEE OF $9,837.50. NO FURTHER ACTION WAS TAKEN.

Disclosure 8 of 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES INC
Allegations:	THE CLIENTS DISPUTED THE RISK TOLERANCE ASSESSMENT DONE BY THE ADVISOR AND STATED THEY HAD PORTFOLIO LOSSES OF $27,800 FROM JANUARY 1, 2008 TO JANUARY 18, 2008.
Product Type:	Annuity-Variable Equity Listed (Common & Preferred Stock)
Alleged Damages:	$27,800.00
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:	01/25/2008
Complaint Pending?	No
Status:	Settled
Status Date:	05/28/2008
Settlement Amount:	$11,000.00
Individual Contribution Amount:	$0.00
Broker Statement	IT WAS DETERMINED THAT THE DISPUTE WAS DUE TO THE CLIENT NOT BEING SATISFIED WITH THE FINANCIAL PLANNING SERVICES PROVIDED DURING 2006 AND 2007. I REFUNDED THE FINANCIAL PLANNING FEE FOR 2007. THE FIRM REFUNDED THE FULL FINANCIAL PLANNING FEE FOR 2006 IN THE AMOUNT OF $11,000.00

Disclosure 9 of 10

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES,INC.
Allegations:	THE CLIENT'S ALLEGED THEY WERE PROVIDED WITH ADVISE TO MOVE THEIR FUNDS, RESULTING IN INCOME TAXES AND THEY WERE NOT PROVIDED WITH THE APPROPRIATE AMOUNT OF EXPECTED TAX CONSEQUENCES.
Product Type:	Mutual Fund(s)
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	03/20/2007
Complaint Pending?	No
Status:	Denied
Status Date:	07/25/2008
Settlement Amount:	$5,000.00
Individual Contribution Amount:	$0.00
Firm Statement	THE FIRM FOUND THE ADVISOR DID NOT PROVIDE THE CLIENT WITH INAPPROPRIATE TAX INFORMATION. THE FIRM FOUND NO REASON FOR SETTLEMENT.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES INC
Allegations:	THE CLIENTS ALLEGED THEY WERE PROVIDED WITH ADVICE TO MOVE THEIR FUNDS, RESULTING IN INCOME TAXES AND THEY WERE NOT PROVIDED WITH THE AMOUNT OF EXPECTED TAX CONSEQUENCES.
Product Type:	Other: STRATEGIC PORTFOLIO SERVICES, FINANCIAL ADVISORY SERVICES

Alleged Damages:	$5,000.00
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:	03/20/2007
Complaint Pending?	No
Status:	Denied
Status Date:	06/10/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	.

Disclosure 10 of 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS INC
Allegations:	THE CLIENT ALLEGES THAT SEVERAL TRANSACTIONS WERE MADE IN HIS BROKERAGE ACCOUNTS THAT HE DID NOT AUTHORIZE, AND HE REQUESTED REIMBURSEMENT FOR THE LOSSES INCURRED FROM THESE UNAUTHORIZED TRANSACTIONS AND REIMBURSEMENT FOR THE TAX CONSEQUENCES FROM THESE TRANSACTIONS. THE ESTIMATED AMOUNT OF LOSSES ON THE ALLEGEDLY UNAUTHORIZED TRANSACTIONS IS APPROXIMATELY $30,000.00 AND THE TAX CONSEQUENCES WERE ESTIMATED AT $1,000.00.
Product Type:	Other: INDIVIDUAL STOCK PURCHASED IN A BROKERAGE ACCOUNT
Alleged Damages:	$31,000.00
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:	12/21/2000
Complaint Pending?	No
Status:	Settled
Status Date:	05/03/2001
Settlement Amount:	$78,975.11
Individual Contribution Amount:	$59,619.78

Broker Statement	I VIOLATED AMERIPRISE POLICY BY NOT EXECUTING A TRADE FOR THIS CLIENT AT THE AGREED UPON TIME. AS A RESULT, THE CLIENT WAS REFUNDED LOSSES, RESTORING HIS ORIGINAL ACCOUNT VALUE.

End of Report

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