



IAPD Report

DAVID HAROLD FINCH

CRD# 2031060

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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

DAVID HAROLD FINCH (CRD# 2031060)

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 **10/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THE OAK RIDGE FINANCIAL SERVICES GROUP, INC	CRD# 42941	11/09/2022
B	THE OAK RIDGE FINANCIAL SERVICES GROUP, INC.	CRD# 42941	11/10/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	AMERIPRISE FINANCIAL SERVICES, LLC	6363	LAKE ELMO, MN	10/05/2009 - 11/09/2022
IA	AMERIPRISE FINANCIAL SERVICES, LLC	6363	LAKE ELMO, MN	10/05/2009 - 11/09/2022
IA	AMERIPRISE ADVISOR SERVICES, INC.	5979	LAKE ELMO, MN	06/30/2006 - 10/05/2009

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



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 **18** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **THE OAK RIDGE FINANCIAL SERVICES GROUP, INC**
Main Address: 701 XENIA AVENUE SOUTH
SUITE 100
GOLDEN VALLEY, MN 55416-1089
Firm ID#: 42941

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/10/2022
B	Arizona	Agent	Approved	11/10/2022
IA	Arizona	Investment Adviser Representative	Approved	10/23/2023
B	California	Agent	Approved	11/10/2022
B	Illinois	Agent	Approved	11/23/2022
IA	Illinois	Investment Adviser Representative	Approved	10/16/2023
B	Iowa	Agent	Approved	11/17/2022
IA	Iowa	Investment Adviser Representative	Approved	10/16/2023
B	Maryland	Agent	Approved	11/10/2022
B	Michigan	Agent	Approved	11/10/2022
IA	Michigan	Investment Adviser Representative	Approved	10/16/2023
B	Minnesota	Agent	Approved	11/16/2022
IA	Minnesota	Investment Adviser Representative	Approved	11/16/2022



Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	11/28/2022
IA	Missouri	Investment Adviser Representative	Approved	10/23/2023
B	Nebraska	Agent	Approved	11/10/2022
B	Nevada	Agent	Approved	11/10/2022
B	North Dakota	Agent	Approved	11/10/2022
B	Ohio	Agent	Approved	11/10/2022
IA	Ohio	Investment Adviser Representative	Approved	10/07/2025
B	Oregon	Agent	Approved	11/18/2022
B	Pennsylvania	Agent	Approved	11/10/2022
B	South Dakota	Agent	Approved	11/17/2022
B	Texas	Agent	Approved	11/10/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	11/09/2022
B	Washington	Agent	Approved	11/10/2022
B	Wisconsin	Agent	Approved	11/17/2022
IA	Wisconsin	Investment Adviser Representative	Approved	10/13/2023

Branch Office Locations

THE OAK RIDGE FINANCIAL SERVICES GROUP, INC
701 XENIA AVE. SOUTH, SUITE 100
GOLDEN VALLEY, MN 55416-1089

THE OAK RIDGE FINANCIAL SERVICES GROUP, INC
701 XENIA AVENUE S STE 100
GOLDEN VALLEY, MN 55416



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Futures Managed Funds Examination (S31)	Series 31	03/19/2009
B General Securities Representative Examination (S7)	Series 7	04/16/1999
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/06/1990

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/27/2006
B Uniform Securities Agent State Law Examination (S63)	Series 63	04/23/1999



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	10/05/2009 - 11/09/2022	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	LAKE ELMO, MN
IA	10/05/2009 - 11/09/2022	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	LAKE ELMO, MN
IA	06/30/2006 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	LAKE ELMO, MN
B	05/17/2004 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	LAKE ELMO, MN
IA	01/30/2006 - 01/30/2006	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	LAKE ELMO, MN
B	04/19/1999 - 05/19/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	04/09/1990 - 10/23/1992	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	04/09/1990 - 10/23/1992	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	NEWARK, NJ

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
11/2022 - Present	THE OAK RIDGE FINANCIAL SERVICES GROUP, INC.	REGISTERED REPRESENTATIVE	Y	GOLDEN VALLEY, MN, United States
10/2009 - 10/2022	Ameriprise Financial Services, Inc.	Registered Rep	Y	Lake Elmo, MN, United States
10/2009 - 10/2022	Ameriprise Financial Services, Inc.	Registered Rep	Y	Lake Elmo, MN, 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.

No information reported.



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

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:	STATE OF IOWA 23786
Charge Date:	09/30/1989
Charge Details:	ORIGINAL FELONY CHARGE OF VIOLATION OF IOWA CODE SECTION 709.11
Felony?	Yes
Current Status:	Final
Status Date:	04/27/1990
Disposition Details:	CHARGE WAS AMENDED TO ASSAULT WITH INTENT TO COMMIT SEXUAL ABUSE, AGGRAVATED MISDEMEANOR. I WAS SENTENCED TO 1 YEAR WITH 330 DAY SUSPENDED, CONFINED FOR 30 DAYS IN THE JOHNSON COUNTY JAIL, 2 YEARS PROBATION AND ATTENDED COUNSELING.
Broker Statement	WHILE I ATTENDED IOWA UNIVERSITY I ATTENDED A PARTY WHERE I BECAME INVOLVED WITH AN UNDERAGE FEMALE. THE PARENTS PROCEEDED TO BRING CHARGES AGAINST ME.



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:	Ameriprise Financial Services, LLC
Allegations:	Client alleged excessive mutual fund trading was conducted in her account for the purpose of generating commissions from October 2018 to October 2022.
Product Type:	Mutual Fund
Alleged Damages:	\$19,500.00
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:	10/24/2022
Complaint Pending?	No
Status:	Denied
Status Date:	11/22/2022
Settlement Amount:	

Individual Contribution Amount:

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, LLC
Allegations:	CLIENT ALLEGED EXCESSIVE MUTUAL FUND TRADING WAS CONDUCTED IN HER ACCOUNT FOR THE PURPOSE OF GENERATING COMMISSIONS FROM OCTOBER 2018 TO OCTOBER 2022.
Product Type:	Mutual Fund
Alleged Damages:	\$19,500.00
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: 10/24/2022

Complaint Pending? No

Status: Denied

Status Date: 11/22/2022

Settlement Amount:

**Individual Contribution
Amount:**



End of Report

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