IAPD Report

KELLY LEE DIESTLER

CRD# 2096901

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7

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

KELLY LEE DIESTLER (CRD# 2096901)

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 **02/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/01/1990
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/07/1990

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	11/01/1990 - 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
Customer Dispute	12

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

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 **26** 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	11/01/1990
B	Alabama	Agent	Approved	06/04/2001
B	Arizona	Agent	Approved	11/23/1999
B	Arkansas	Agent	Approved	03/30/2016
B	Colorado	Agent	Approved	01/13/2025
B	Connecticut	Agent	Approved	06/07/2001
B	Florida	Agent	Approved	07/27/1999
B	Georgia	Agent	Approved	08/14/2015
B	Illinois	Agent	Approved	08/12/2015
B	Iowa	Agent	Approved	08/13/2015
B	Louisiana	Agent	Approved	03/19/2020
B	Maine	Agent	Approved	10/28/2025
B	Maryland	Agent	Approved	12/05/2022

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	09/10/1999
IA	Michigan	Investment Adviser Representative	Approved	10/08/2010
B	Minnesota	Agent	Approved	12/09/2016
B	Mississippi	Agent	Approved	02/06/2003
B	North Carolina	Agent	Approved	04/23/2001
B	North Dakota	Agent	Approved	05/31/2022
B	Ohio	Agent	Approved	08/13/2015
B	Pennsylvania	Agent	Approved	11/08/1999
B	South Carolina	Agent	Approved	03/07/1995
B	Tennessee	Agent	Approved	04/03/2001
B	Texas	Agent	Approved	01/25/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	01/25/2018
B	Vermont	Agent	Approved	12/05/2025
B	Virginia	Agent	Approved	02/10/2017
B	Washington	Agent	Approved	08/18/2015
B	Wisconsin	Agent	Approved	11/07/1990
IA	Wisconsin	Investment Adviser Representative	Approved	11/07/1990

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

Qualifications

2631 S PACKERLAND DR
STE 105
GREEN BAY, WI 54313

AMERIPRISE FINANCIAL SERVICES, LLC
Green Bay, WI

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

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 1 state securities law exam.

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	10/30/1990

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/05/1990

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

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

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	11/01/1990 - 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
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Green Bay, WI, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Green Bay, WI, 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; 456 E. Harold DriveSan Tan Valley, AZ 85140, ,; ; 10/04/2010 / Multi-Family; 990 Morris Avenue, , Green Bay, WI, 54304; Not Investment-Related; 08/20/2021. Business Ownership; KC Capital Ventures, LLC; Owner; executive suites/LLC; 2631 S. Packerland Drive, , Green Bay, WI, 54313; Not Investment-Related; 05/01/2007; 1 to 9 hours per month; 1 to 9 during trading hours / Dietz Investments, LLC; ; property leasing/LLC; 2631 S. Packerland Drive, Suite 105Green Bay, WI 54313, ,; ; ; 1 to 9 hours per month; .

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

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.

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

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	12

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 12

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES INC.
Allegations:	THE CLIENT ALLEGED I MISLED HIM REGARDING THE PREMIUM PAYMENT REQUIREMENTS DURING THE 1991 SALE OF THE VARIABLE UNIVERSAL LIFE POLICY.
Product Type:	Other
Other Product Type(s):	VARIABLE UNIVERSAL LIFE
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	01/24/2006
Complaint Pending?	No
Status:	Denied
Status Date:	05/30/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM WAS UNABLE TO SUBSTANTIATE ON THE ALLEGATIONS MADE BY THE COMPLAINANT. FURTHER, THE ALLEGATIONS MADE WERE COVERED UNDER THE TERMS OF THE CLASS ACTION LAWSUIT.

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

Disclosure 2 of 12

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	IN THIS AAACLAIM, CLIENT ALLEGES CLAIMS OF SUITABILITY, FRAUD, MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY REGARDING INVESTMENT RECOMMENDED TO HER IN JUNE 2000
Product Type:	Mutual Fund(s)
Other Product Type(s):	FACE AMOUNT CERTIFICATE, BROKERAGE ACCOUNTS
Alleged Damages:	$150,000.00

Customer Complaint Information

Date Complaint Received:	02/13/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/09/2004
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	AMERICAN ARBITRATION ASSOCIATION THERE IS NO DOCKET/CASE NUMBER.
Date Notice/Process Served:	02/13/2004
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	04/01/2005
Monetary Compensation Amount:	$105,721.35
Individual Contribution Amount:	$0.00
Broker Statement	THE ARBITRATION PANEL AWARDED CUSTOMER $105,721.35 IN THIS MATTER.

Disclosure 3 of 12

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	OMISSIONS, CHURNING, SUITABILITY, NEGLIGENCE, FRAUD, BREACH OF CONTRACT, CONVERSION, BREACH OF FIDUCIARY DUTY
Product Type:	Mutual Fund(s)
Other Product Type(s):	OPTIONS, STOCK

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

Alleged Damages:	$3,000,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #03-07231
Date Notice/Process Served:	10/06/2003
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	07/25/2005
Disposition Detail:	RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANTS THE SUM OF $145,000.00 IN COMPENSATORY DAMAGES.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	CLAIMANT ALLEGES THAT IN 2000, AEFA AND I SOLD THEM RISKY AND UNSUITABLE "B" SHARE STOCK MUTUAL FUNDS WHEN THEY KNEW THEIR RISK TOLERANCE WAS CONSERVATIVE. CLAIMANT SEEKS UNSPECIFIED DAMAGES FOR MARKET LOSSES; PLUS UNSPECIFIED PUNITIVE DAMAGES.
Product Type:	Mutual Fund(s)
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	10/20/2003
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/20/2003
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 03-07231
Date Notice/Process Served:	10/20/2003
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/27/2005
Monetary Compensation Amount:	$145,000.00
Individual Contribution Amount:	$0.00

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

Broker Statement	ON 7/7/05, NASD AWARDED IN FAVOR OF THE CUSTOMERS IN THE AMOUNT OF $145,000.00 IN COMPENSATORY DAMAGES. ALL OTHER RELIEF REQUESTED WAS DENIED.

Disclosure 4 of 12

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	THE CLIENT ALLEGED THAT SHE DID NOT REALIZE THAT THE VARIABLE POLICY SHE PURCHASED IN 1996 WAS NOT A PAID-UP POLICY AND THAT SHE WAS REQUIRED TO PAY PREMIUMS. ADDITIONALLY, THE CLIENT ALLEGED SHE WAS NOT AWARE THAT SHE COULD LOSE MONEY IN THE POLICY.
Product Type:	Other
Other Product Type(s):	VARIABLE UNIVERSAL LIFE INSURANCE
Alleged Damages:	$40,027.54

Customer Complaint Information

Date Complaint Received:	07/14/2003
Complaint Pending?	No
Status:	Denied
Status Date:	07/25/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE CLIENT'S COMPLAINT FELL UNDER THE TERMS OF A CLASS ACTION SETTLEMENT AND THE CLIENT ELECTED GENERAL RELIEF. THE COMPANY REVIEW FOUND THE CLIENT RECEIVED THE APPROPRIATE DISCLOSURES REGARDING THE COST OF INSURANCE. THE CLIENT ALSO RECEIVED THE APPROPIRATE DISCLSOURES REGARDING THE VARIABLE NATURE OF THE SUBACCOUNTS.

Disclosure 5 of 12

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	THE CLIENT ALLEGES THAT HIS LIFE INSURANCE POLICY PURCHASED IN 1992 WAS NOT EXPLAINED TO HIM.
Product Type:	Insurance
Alleged Damages:	$16,997.49

Customer Complaint Information

Date Complaint Received:	07/14/2003
Complaint Pending?	No

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

Status:	Denied
Status Date:	08/06/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE COMPLAINT WAS AGED AND DEEMED TO HAVE NO MERIT. THE PRODUCT WAS SUITABLE AT THE TIME OF SALE.

Disclosure 6 of 12

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	CLIENTS ALLEGED WHEN THEY EACH PURCHASED LIFE INSURANCE POLICIES IN MARCH 1996, THEY BELIEVED THEY HAD PURCHASED PAID-UP WHOLE LIFE INSURANCE POLICIES. THEY CLAIMED TO ONLY RECENTLY HAVE LEARNED THEY HAD PURCHASED VARIABLE LIFE INSURANCE POLICIES. DUE TO POOR MARKET PERFORMANCE, THEY LEARNED ADDITIONAL PREMIUMS WOULD BE REQUIRED OR THEIR POLICIES WOULD LAPSE.
Product Type:	Insurance
Alleged Damages:	$32,705.00

Customer Complaint Information

Date Complaint Received:	06/23/2003
Complaint Pending?	No
Status:	Denied
Status Date:	07/16/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM FOUND I PROVIDED THE CLIENTS FULL AND FAIR DISCLOSURE OF THEIR LIFE INSURANCE POLICIES AS EVIDENCED BY THEIR SIGNATURES ON THE APPLICATIONS AND POLICY RECEIPTS. IN ADDITION, WE REVIEWED THE PERFORMANCE OF THEIR POLICIES AT FOLLOW-UP MEETINGS. THE CLIENTS' ALLEGATIONS WERE COVERED BY A CLASS ACTION LAWSUIT INVOLVING IDS LIFE INSURANCE COMPANY.

Disclosure 7 of 12

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	THE CLIENT ALLEGED THAT HIS LIFE INSURANCE POLICY PURCHSED IN 1995 WAS NOT EXPLAINED TO HIM.
Product Type:	Insurance

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

Alleged Damages: $34,189.84

Customer Complaint Information

Date Complaint Received: 07/03/2003

Complaint Pending? No

Status: Denied

Status Date: 07/18/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE COMPLAINT WAS DETERMINED TO BE WITHOUT MERIT. THE CLIENT UNDERSTOOD THAT HE WAS PURCHASING INSURANCE AT THE TIME OF SALE AND THE POLICY WAS UNSUITABLE.

Disclosure 8 of 12

Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGES THAT IN NOVEMBER 1999 CLAIMANT'S ADVISOR FAILED TO SELL HIS PROCTOR AND GAMBLE SHARES AS REQUESTED, MADE UNAUTHORIZED TRADES, CHURNED HIS ACCOUNTS, AND MADE MISREPRESENTATIONS AND THAT AEFA BREACHED ITS CONTRACT AND FIDUCIARY DUTY. CLAIMANT ALSO ALLEGES CLAIMS OF FRAUD AND SUITABILITY AND REQUESTS DAMAGES OF $2 MILLION.

Product Type: Mutual Fund(s)

Other Product Type(s): BROKERAGE ACCOUNT, FACE AMOUNT CERTIFICATES

Alleged Damages: $2,000,000.00

Customer Complaint Information

Date Complaint Received: 04/25/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/24/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE NO.:03-02664

Date Notice/Process Served: 04/22/2003

Arbitration Pending? No

Disposition: Award to Customer

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

Disposition Date:	04/12/2005
Monetary Compensation Amount:	$175,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE ARBITRATION PANEL AWARDED THE [CUSTOMERS] $175,000.00 IN THIS MATTER.

Disclosure 9 of 12

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	THE CLIENT ALLEGED THAT FOR SEVERAL YEARS SHE REQUESTED THE ADVISOR TO PUT HER IN FIXED INVESTMENTS TO AVOID LOSING MORE MONEY. SHE CLAIMED THE ADVISOR TOLD HER NOT TO WORRY- THAT HER PORTFOLIO WOULD COME BACK IN VALUE.
Product Type:	Mutual Fund(s)
Other Product Type(s):	AXP CASH RESERVE CERTIFICATE IDS LIFE INDEX 500 ANNUTITY
Alleged Damages:	$104,000.00

Customer Complaint Information

Date Complaint Received:	08/28/2002
Complaint Pending?	No
Status:	Denied
Status Date:	10/18/2002
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	OUR REVIEW FOUND THE CLIENT'S PORTFOLIO DECREASED IN VALUE MAINLY DUE TO LARGE WITHDRAWALS FROM HER ACCOUNTS. THE CLIENT WITHDREW APPROXIMATELY TWO THIRDS OF HER INITIAL INVESTMENT WITHIN THE FIRST FIVE YEARS. THE CLIENT ALSO THOUGHT HER INITIAL INVESTMENT TOTALED $139000.00, BUT SHE ACTUALLY INVESTED ONLY $106000.00. WE FOUND THE ADVISOR MET WITH THE CLIENT REGULARLY TO REVIEW HER ACCOUNTS. AFTER EACH REVIEW, THE CLIENT AGREED TO RETAIN THE CURRENT ALLOCATION. THE MAJORITY OF HER PORTFOLIO WAS IN BOND FUNDS AND FIXED INVESTMENTS.

Disclosure 10 of 12

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	THE CLIENTS ALLEGED THAT THEIR INVESTMENTS WERE UNSUITABLE

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

	BASED ON THIER 3-YEAR TIMEFRAME AND RISK TOLERANCE. THE CLIENTS ALSO STATED THEY DID NOT RECEIVE FULL DISCLOSURE OF THE CDCS CHARGES ON THEIR MUTUAL FUNDS. THE CLIENTS INFERRED I RECOMMENDED UNSUITABLE TRANSACTIONS TO GENERATE COMMISSIONS. THE CLIENTS ESTIMATED THEIR MARKET LOSS AT $91885.00
Product Type:	Mutual Fund(s)
Other Product Type(s):	BROKERAGE ACCOUNT OPTION CONTRACTS
Alleged Damages:	$91,885.00

Customer Complaint Information

Date Complaint Received:	03/08/2002
Complaint Pending?	No
Status:	Denied
Status Date:	07/18/2002
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	THE COMPANY REVIEW FOUND THAT BASED ON THEI CLIENT'S GOALS AND OBJECTIVES AT THE TIME OF SALE, THE PRODUCTS I RECOMMENDED WERE SUITABLE. ADDITIONALLY, THE REVIEW FOUND THAT THE CHARGES AND FEES ASSOCIATED WITH THE INVESTMENTS WERE DISCLOSED AT THE TIME OF SALE.

Disclosure 11 of 12

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	CLAIMANTS ALLEGE THAT THEY WERE GIVEN UNSUITABLE INVESTMENT ADVICE BY AEFA AND I. THEY ALSO CLAIM THAT WE WRONGFULLY RECOMMENDED RISKY AND AGGRESSIVE INVESTMENTS AND TRADED EXCESSIVELY. AS A RESULT, THEY ALLEGEDLY INCURRED $325456.00 IN MARKET LOSSES. CLAIMANTS DEMAND $325456.00 PLUS INTEREST AND ATTORNEYS FEES. AEFA AND I ADAMENATLY DENY CLAIMANTS CLAIMS AND INTEND TO VIGOROUSLY DEFEND THIS MATTER.
Product Type:	Mutual Fund(s)
Other Product Type(s):	BONDS
Alleged Damages:	$325,456.00

Customer Complaint Information

Date Complaint Received:	06/17/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/17/2002

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRATION NO.:02-03343
Date Notice/Process Served:	06/17/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/05/2003
Monetary Compensation Amount:	$180,000.00
Individual Contribution Amount:	$0.00
Broker Statement	IN ORDER TO AVOID THE COSTS OF ARBITRATION, AEFA SETTLED THIS MATTER FOR $180000.00. I WAS DISMISSED FROM THE CASE AND I DID NOT CONTRIBUTE TOWARD THE SETTLEMENT AMOUNT.

Disclosure 12 of 12

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	THE CLIENT HAS ALLEGED THAT DUE TO ADVICE GIVEN BY ME AND ACTIONS TAKEN BY ME HE HAS LOST A SIGNIGICANT AMOUNT OF HIS INVESTMENT PORTFOLIO.
Product Type:	Investment Contract(s)
Other Product Type(s):	INVESTMENT MANAGEMENT ACCOUNT
Alleged Damages:	$512,076.98

Customer Complaint Information

Date Complaint Received:	05/25/2001
Complaint Pending?	No
Status:	Denied
Status Date:	02/11/2002
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	MY COMPLIANCE DEPARTMENT REVIEWED THE MATTER AND FOUND THAT ALL INVESTMENT RECOMMENDATIONS WERE MADE WITH THE CLIENTS BEST INTEREST IN MIND AND WERE CONSISTENT WITH HIS RISK TOLERANCE, GOALS AND OBJECTIVES. MY COMPLIANCE DEPARTMENT WAS UNABLE TO DETERMINE THAT THE CLIENT WAS GIVEN FULL DISCLOSURE REGARDING THE SURRENDER CHARGES ON HIS MUTUAL FUNDS. THEREFORE, MY COMPLIANCE DEPARTMENT OFFERED TO

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

REIMBURSE THE CLIENT FOR THE REMAINING SURRENDER CHARGES ON HIS MUTUAL FUNDS. THE CLIENT DID NOT RESPOND TO OR ACCEPT THEIR OFFER.

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.

End of Report

This page is intentionally left blank.

©2026 FINRA. All rights reserved. Report about KELLY LEE DIESTLER.