



IAPD Report

BRADLEY LEO RENBERG

CRD# 2155253

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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

BRADLEY LEO RENBERG (CRD# 2155253)

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
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/05/2009
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/05/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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 ADVISOR SERVICES, INC.	5979	WEST DES MOINES, IA	06/25/2003 - 10/05/2009
B	AMERIPRISE ADVISOR SERVICES, INC.	5979	WEST DES MOINES, IA	05/28/1993 - 10/05/2009
B	HIBBARD BROWN & CO., INC.	18246	NEW YORK, NY	08/15/1991 - 10/16/1992

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	4



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 **21** 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	10/05/2009
B	FINRA	General Securities Sales Supervisor	Approved	10/05/2009
B	Arizona	Agent	Approved	10/05/2009
B	California	Agent	Approved	10/05/2009
B	Colorado	Agent	Approved	09/15/2014
B	Florida	Agent	Approved	10/05/2009
B	Illinois	Agent	Approved	10/05/2009
B	Iowa	Agent	Approved	10/05/2009
IA	Iowa	Investment Adviser Representative	Approved	10/05/2009
B	Kansas	Agent	Approved	01/08/2026
B	Kentucky	Agent	Approved	09/08/2023
B	Michigan	Agent	Approved	03/17/2010
B	Minnesota	Agent	Approved	12/16/2011



Qualifications

Regulator	Registration	Status	Date
B Missouri	Agent	Approved	10/05/2009
B Nebraska	Agent	Approved	11/28/2023
B New Hampshire	Agent	Approved	08/18/2015
B North Carolina	Agent	Approved	10/05/2009
B South Carolina	Agent	Approved	01/30/2024
B South Dakota	Agent	Approved	01/16/2024
B Tennessee	Agent	Approved	02/21/2020
B Texas	Agent	Approved	10/05/2009
IA Texas	Investment Adviser Representative	Restricted Approval	02/20/2010
B Virginia	Agent	Approved	11/06/2012
B Washington	Agent	Approved	10/05/2009
B Wisconsin	Agent	Approved	01/03/2025

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
 1089 JORDAN CREEK PKWY
 STE 110
 WEST DES MOINES, IA 50266-5830

AMERIPRISE FINANCIAL SERVICES, LLC
 West Des Moines, IA



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	03/09/1998

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	05/22/2006
General Securities Representative Examination (S7)	Series 7	08/13/1991

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	08/28/2001
Uniform Securities Agent State Law Examination (S63)	Series 63	09/11/1991

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
IA	06/25/2003 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	WEST DES MOINES, IA
B	05/28/1993 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	WEST DES MOINES, IA
B	08/15/1991 - 10/16/1992	HIBBARD BROWN & CO., INC.	CRD# 18246	NEW YORK, NY

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	West Des Moines, IA, United States
10/2009 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	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.

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	4

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:	CLEAR LAKE POLICE DEPARTMENT 59503
Charge Date:	03/30/1988
Charge Details:	THE ALLEGATIONS WERE THAT I TOOK PART IN THE THEFT OF 2 REAL ESTATE SIGNS (VALUE \$125) IN THE CITY OF CLEAR LAKE IA (5TH DEGREE THEFT)
Felony?	
Current Status:	Final
Status Date:	04/04/1988
Disposition Details:	I PLED GUILTY TO 5TH DEGREE THEFT (MISDEMEANOR) AND PAID A \$50.00 FINE AND \$27.50 IN SURCHARGES AND COURT COSTS.
Broker Statement	ON THE EVENING OF MARCH 30, 1988, I WAS A PASSENGER IN THE BACKSEAT OF A CAR THAT WAS BEING DRIVEN BY A MINOR. ANOTHER MINOR WAS ALSO A PASSENGER IN THE CAR. THE PASSENGER IN THE FRONT SEAT SPOTTED 2 REAL ESTATE SIGNDS IN THE YARD OF A HOME, STOLE THE SIGNS AND PLACED THEM IN THE BACK SEAT. NOT WANTING TO TAKE PART ON THE THEFT, I GOT OUT OF THE CAR, WALKED TO MY CAR ACROSS THE STREET. AT THAT POINT, POLICE ARRIVED. I WAS ARRESTED BECAUSE OF MY AGE (18) AND THE MINORS WERE LET GO.



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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Ameriprise Financial Services, Inc.
Allegations:	Claimants allege that they were recommended unsuitable investments and transactions including high-risk investments in the energy and retail sectors. Time period at issue: 5/2014 - 5/2019.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$380,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA - Iowa
Docket/Case #:	19-01275
Filing date of arbitration/CFTC reparation or civil litigation:	05/08/2019

Customer Complaint Information

Date Complaint Received:	05/08/2019
Complaint Pending?	No
Status:	Settled
Status Date:	04/03/2020
Settlement Amount:	\$150,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Ameriprise Financial settled this matter for \$150,000 in order to avoid the costs associated with arbitration.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Ameriprise Financial Services, Inc.



Allegations: The clients alleged their advisor recommended unsuitable investments and executed unauthorized trades in 2017.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): A good faith estimate does not place the damages below \$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: 02/09/2018

Complaint Pending? No

Status: Denied

Status Date: 04/09/2018

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OLDE DISCOUNT CORPORATION

Allegations: ON JUNE 06, 2000, CUSTOMER PLACED AN ORDER FOR 10,000 CIRCUIT CITY @ 39 1/4. AFTERWARDS, HE WANTED TO CANCEL ORDER AND PLACE ORDER FOR 10,000 @ 39 3/4. CANCELLATION DID NOT OCCUR RESULTING IN 19,000 SHARES PURCHASED. CUSTOMER ALLEGES UNAUTHORIZED PURCHASE OF 9000 SHARES. SUBSEQUENTLY SOLD 9000 SHARES ON DECEMBER 08, 2000 FOR LOSS OF APPROXIMATELY \$262,987.50. FILED FOR ARBITRATION ALLEGING BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, VIOLATION OF SECURITIES LAWS, OMISSION OF FACT, UNAUTHORIZED PURCHASE AND NEGLIGENCE. SEEKING \$263,996 DAMAGES AND \$200,000 PUNITIVE DAMAGES.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$262,987.50

Customer Complaint Information

Date Complaint Received: 12/14/2000

Complaint Pending? No

Status: Arbitration/Reparation
Withdrawn



Status Date: 07/31/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 01-03923

Date Notice/Process Served: 07/31/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/12/2002

Monetary Compensation Amount: \$105,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE FIRM MADE A BUSINESS DECISION TO SETTLE THE MATTER AFTER CONSIDERING THE AMOUNTS INVOLVED TOGETHER WITH THE COSTS OF PROCEEDING WITH ARBITRATION.

Disclosure 4 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: OLDE DISCOUNT CORPORATION

Allegations: CUSTOMER AGAINST MEMBER FIRM AND REGISTERED REPRESENTATIVES FOR GROSS MISMANAGEMENT, UNSUITABLE TRADES, FAILURE TO DISCLOSE RISKS AND FAILURE TO SUPERVISE. CLAIMANTS' SEEK RECOVERY OF MONEY, DISGORGEMENT OF ALL COMMISSION INCOME, ATTORNEY FEES AND PUNITIVE DAMAGES.

Product Type: Other

Alleged Damages: \$130,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NYSE - CASE #2000-008497](#)

Date Notice/Process Served: 05/11/2000

Arbitration Pending? No

Disposition: Award

Disposition Date: 06/04/2001

Disposition Detail: THE UNDESIGNED ARBITRATORS HAVE DECIDED AND DETERMINED IN FULL AND FINAL SETTLEMENT OF ALL CLAIMS BETWEEN THE PARTIES THAT: RESPONDENT SHALL PAY CLAIMANT \$130,000.00. FORUM FEES OF \$2,400.00 ARE ASSESSED AGAINST THE RESPONDENTS.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OLDE DISCOUNT CORPORATION

Allegations: CLAIMANTS ALLEGE UNSUITABILITY, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY AND EXCESSIVE TRADING IN CONNECTION WITH VARIOUS TRANSACTIONS OCCURRING BETWEEN APRIL, 1999 AND MARCH, 2000.

Product Type: Equity - OTC

Alleged Damages: \$173,955.00

Customer Complaint Information

Date Complaint Received: 05/23/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/15/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NYSE ARBITRATION NO. 00-01799](#)

Date Notice/Process Served: 06/15/2000

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/04/2001

Monetary Compensation Amount: \$130,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THE CUSTOMER MADE AN UNSOLICITED MARGIN PURCHASE OF A STOCK THAT THE FIRM NEITHER PROVIDED RESEARCH ON NOR RECOMMENDED. THE STOCK SUBSEQUENTLY DECLINED IN VALUE. FOR THESE REASONS, THE CUSTOMERS' CLAIM IS WITHOUT MERIT. THE EVIDENCE AND CIRCUMSTANCES REGARDING THE TRANSACTION AT ISSUE DID NOT JUSTIFY THE ARBITRATION PANEL'S DECISION.



End of Report

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