



IAPD Report

RICKY DEAN JENSEN

CRD# 2161520

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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

RICKY DEAN JENSEN (CRD# 2161520)

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 **02/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	03/16/2007
IA	WELLS FARGO ADVISORS	CRD# 11025	03/19/2007

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	CITIGROUP GLOBAL MARKETS INC.	7059	PLANTATION, FL	10/21/2003 - 03/26/2007
B	CITIGROUP GLOBAL MARKETS INC.	7059	PLANTATION, FL	10/13/2003 - 03/26/2007
IA	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	FT. LAUDERDALE, FL	10/30/1995 - 10/14/2003

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	2



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: **WELLS FARGO ADVISORS**
Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205
Firm ID#: 11025

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/16/2007
B	FINRA	General Securities Sales Supervisor	Approved	06/11/2007
B	Arizona	Agent	Approved	03/16/2007
B	California	Agent	Approved	03/16/2007
B	Colorado	Agent	Approved	03/16/2007
B	Connecticut	Agent	Approved	07/21/2016
B	Florida	Agent	Approved	03/16/2007
IA	Florida	Investment Adviser Representative	Approved	03/19/2007
B	Georgia	Agent	Approved	03/16/2007
B	Kansas	Agent	Approved	08/20/2020
B	Maryland	Agent	Approved	03/16/2007
B	Minnesota	Agent	Approved	05/20/2011
B	Montana	Agent	Approved	03/20/2007



Qualifications

Regulator	Registration	Status	Date
B Nebraska	Agent	Approved	05/08/2007
B New York	Agent	Approved	07/13/2007
B North Carolina	Agent	Approved	03/16/2007
B Oklahoma	Agent	Approved	09/24/2014
B Pennsylvania	Agent	Approved	03/16/2007
B South Carolina	Agent	Approved	01/11/2008
B South Dakota	Agent	Approved	03/16/2007
IA South Dakota	Investment Adviser Representative	Approved	03/20/2007
B Texas	Agent	Approved	07/13/2007
IA Texas	Investment Adviser Representative	Restricted Approval	09/13/2016
B Utah	Agent	Approved	02/11/2025
B Vermont	Agent	Approved	07/11/2012
B Virginia	Agent	Approved	03/16/2007

Branch Office Locations

WELLS FARGO ADVISORS
207 E CAPITAL AVE
STE 105
PIERRE, SD 57501





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 2 principal/supervisory exams, 2 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	06/09/2007
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/08/2007

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/01/1991

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/22/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/08/1991

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	10/21/2003 - 03/26/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PLANTATION, FL
B	10/13/2003 - 03/26/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PLANTATION, FL
IA	10/30/1995 - 10/14/2003	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	FT. LAUDERDALE, FL
B	10/30/1995 - 10/14/2003	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	05/10/1993 - 11/07/1995	DAIN BOSWORTH INCORPORATED	CRD# 7600	
B	05/27/1992 - 05/13/1993	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	08/02/1991 - 06/10/1992	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE

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
03/2007 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	REGISTERED REP	Y	PIERRE, SD, 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.

PIERRE STREET PROPERTIES; INVESTMENT RELATED; PIERRE , SD; 100% OWNERSHIP OF A COMMERCIAL RENTAL BUILDING, START 05/2012; 5 HOUR PER MONTH/0 DURING TRADING.

HALF BOX DIAMOND RANCH LLC; NOT INVESTMENT RELATED; MIDLAND, SD, FARM-RANCH; 100% OWNERSHIP; START DATE 03/01/2006; 8 HOURS PER MONTH/ 0 DURING TRADING; SALE OF CATTLE AND CROPS.

THE NORBECK HOUSE INN LLC; NOT INVESTMENT RELATED; PIERRE, SD; 50% OWNERSHIP; START DATE 01/01/2007; NO TIME DEVOTED

DAKOTA RENTAL GROUP LLC; INVESTMENT RELATED; CO-OWN; START DATE 03/16/2007; 5 HOURS PER MONTH/0 DURING TRADING.

PIERRE INN & SUITES LLC; INVESTMENT RELATED; PIERRE, SD, APARTMENT BUILDING / MOTEL; 100% OWNERSHIP; START DATE 8/2010; 10 HRS MONTH; 0 HRS DURING TRADING.

PARK AVE, LLC; INVESTMENT RELATED; PIERRE, SD; LLC FOR RENTAL PROPERTY; 100% OWNERSHIP; START DATE 06/01/2009; 3 HOURS DEVOTED PER MONTH; NONE DURING TRADING HOURS.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

SATORI PROPERTY MANAGEMENT LLC; INVESTMENT RELATED; PIERRE, SD; MANAGE PROPERTY; 100% OWNERSHIP; START DATE 09/01/2009; 5 HRS PER MONTH; 0 HRS DURING TRADING.

JENSEN DIETZ WEALTH ADVISORS, LLC; INVESTMENT RELATED; PIERRE, SD; 50% OWNERSHIP; START DATE 03/16/2007; NUMBER OF HOURS PER MONTH 160; NUMBER OF HOURS DURING TRADING 7.5; OWNER OF FINET PRACTICE.

RENTAL PROPERTY, INVT RELATED, PIERRE, SD, 66.66% OWNERSHIP, START DATE 1/1/2007, 5 HRS PER MONTH, 0 HRS DURING TRADING, OWNER OF APARTMENT BUILDING.

RENTAL PROPERTY, INVT RELATED, PIERRE, SD, 66.66% OWNERSHIP, START DATE 1/1/2007, 5 HRS PER MONTH, 0 HRS DURING TRADING, OWNER OF APARTMENT BUILDING.



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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS, INC.
Allegations:	CLAIMANT ALLEGES, INTER ALIA, THAT FROM MAY 2006 THROUGH MAY 2007 THE FA RE-INVESTED THE CLIENT'S CD'S INTO UNSUITABLE EQUITIES.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$143,000.00
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:	07/02/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	10/01/2009
Settlement Amount:	
Individual Contribution Amount:	

**Arbitration Information**

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 10-04103

Date Notice/Process Served: 09/28/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/22/2011

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS FINANCIAL NETWORK LLC & CITIGROUP GLOBAL MARKETS INC.,

Allegations: CLIENT ALLEGED UNAUTHORIZED TRADES. (DATES OF ACTIVITY WITH WELLS FARGO 03/2007 THROUGH NOVEMBER 2008)
***ARBITRATION ALLEGATIONS: CLAIMANT, RESIDENT OF FLORIDA, ALLEGES BETWEEN APRIL 2007 AND NOVEMBER 2008 UNSUITABLE INVESTMENT RECOMMENDATIONS FOR THE PURCHASE OF EQUITIES WERE MADE. CLAIMANT IS SEEKING DAMAGES OF \$143,000 FROM RESPONDENTS, JOINTLY AND SEVERALLY.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$143,000.00

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: 04/13/2010

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 09/29/2010

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA



Docket/Case #: 10-04103
Date Notice/Process Served: 09/29/2010
Arbitration Pending? No
Disposition: Settled
Disposition Date: 12/14/2011
Monetary Compensation Amount: \$60,000.00
Individual Contribution Amount: \$0.00
Broker Statement RESPONDENT WELLS FARGO AGREED TO SETTLE THIS MATTER FOR \$40,000.00 IN ORDER TO AVOID THE DISTRACTION AND EXPENSE OF FURTHER ARBITRATION. THIS SETTLEMENT DOES NOT REPRESENT AN ADMISSION BY RESPONDENT OF LIABILITY, WRONGDOING, OR VIOLATION OF LAW. WELLS FARGO ADVISORS CONTRIBUTED \$40,000.00 TO THE SETTLEMENT AND CITIGROUP CONTRIBUTED \$20,000.

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH
Allegations: CLIAMANT CLAIMS HIS FINANCIAL ADVISOR MADE MISREPRESENTATIONS, UNSUITABLE INVESTMENTS, SUITABILITY AND ENGAGED IN CHURNING.
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 06/14/2001
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 06/14/2001
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD # 01-02848
Date Notice/Process Served: 06/14/2001
Arbitration Pending? No
Disposition: Settled
Disposition Date: 10/31/2002
Monetary Compensation Amount: \$80,000.00



Individual Contribution Amount:

\$0.00

Broker Statement

MATTER SETTLED TO AVOID THE EXPENSE OF LITIGATION.



End of Report

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