



IAPD Report

Wayne Washowich

CRD# 2202563

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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

Wayne Washowich (CRD# 2202563)

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 **01/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/26/2021
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	02/08/2021

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	NORTHERN LIGHTS DISTRIBUTORS, LLC	126159	ELKHORN, NE	07/22/2019 - 11/10/2020
IA	ABSOLUTE CAPITAL MANAGEMENT, LLC	121484	PITTSBURGH, PA	06/06/2019 - 11/09/2020
IA	W.E. DONOGHUE & CO., LLC	285403	N. Huntingdon, PA	12/15/2016 - 03/25/2019

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	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 **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	01/26/2021
B	FINRA	Government Securities Representative	Approved	01/26/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	01/26/2021
B	Arizona	Agent	Approved	08/16/2023
B	California	Agent	Approved	08/03/2023
B	Colorado	Agent	Approved	08/04/2023
IA	Colorado	Investment Adviser Representative	Approved	01/27/2025
B	Connecticut	Agent	Approved	01/24/2025
IA	Connecticut	Investment Adviser Representative	Approved	01/27/2025
B	Delaware	Agent	Approved	09/10/2021
B	Florida	Agent	Approved	08/03/2023
B	Georgia	Agent	Approved	10/10/2023
B	Indiana	Agent	Approved	10/10/2023



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	09/27/2023
IA Kansas	Investment Adviser Representative	Approved	09/27/2023
B Kentucky	Agent	Approved	08/04/2023
B Louisiana	Agent	Approved	05/22/2025
B Maryland	Agent	Approved	08/07/2023
B Massachusetts	Agent	Approved	05/22/2025
B Mississippi	Agent	Approved	10/13/2023
B New Hampshire	Agent	Approved	01/24/2025
IA New Hampshire	Investment Adviser Representative	Approved	01/27/2025
B New Jersey	Agent	Approved	08/03/2023
B New York	Agent	Approved	08/02/2023
B North Carolina	Agent	Approved	08/03/2023
B Ohio	Agent	Approved	09/10/2021
B Pennsylvania	Agent	Approved	02/08/2021
IA Pennsylvania	Investment Adviser Representative	Approved	02/08/2021
B South Carolina	Agent	Approved	08/03/2023
B Texas	Agent	Approved	08/03/2023
IA Texas	Investment Adviser Representative	Restricted Approval	08/03/2023



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	05/22/2025
B Vermont	Agent	Approved	08/03/2023
B Virginia	Agent	Approved	05/08/2024
IA Virginia	Investment Adviser Representative	Approved	01/27/2025
IA Wisconsin	Investment Adviser Representative	Approved	04/04/2024
B Wisconsin	Agent	Approved	04/05/2024

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
 800 Philadelphia St
 Box 220
 Indiana, PA 15701

AMERIPRISE FINANCIAL SERVICES, LLC
 North Huntingdon, PA

AMERIPRISE FINANCIAL SERVICES, LLC
 309 Main St
 Irwin, PA 15642




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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	07/11/1998

General Industry/Product Exams

	Exam	Category	Date
	Government Securities Representative Examination (S72)	Series 72	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	08/22/1996
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/14/1992

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/03/2003
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/11/1993

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	07/22/2019 - 11/10/2020	NORTHERN LIGHTS DISTRIBUTORS, LLC	CRD# 126159	ELKHORN, NE
IA	06/06/2019 - 11/09/2020	ABSOLUTE CAPITAL MANAGEMENT, LLC	CRD# 121484	PITTSBURGH, PA
IA	12/15/2016 - 03/25/2019	W.E. DONOGHUE & CO., LLC	CRD# 285403	N. Huntingdon, PA
B	02/11/2014 - 03/15/2019	NORTHERN LIGHTS DISTRIBUTORS, LLC	CRD# 126159	ELKHORN, NE
IA	04/03/2013 - 12/13/2016	W.E. DONOGHUE & CO., INC	CRD# 106705	N. HUNTINGDON, PA
B	08/11/2011 - 02/10/2012	LPL FINANCIAL LLC	CRD# 6413	NATRONIA HEIGHTS, P.
IA	08/11/2011 - 02/10/2012	LPL FINANCIAL LLC	CRD# 6413	NATRONIA HEIGHTS, P.
IA	12/15/2010 - 07/28/2011	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	PITTSBURGH, PA
B	12/13/2010 - 07/28/2011	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	PITTSBURGH, PA
B	06/14/2010 - 12/13/2010	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	MONROEVILLE, PA
IA	03/25/2009 - 10/05/2009	TRUSTMONT ADVISORY GROUP, INC.	CRD# 106015	NORTH HUNTINGDON,
B	03/17/2009 - 10/05/2009	TRUSTMONT FINANCIAL GROUP, INC.	CRD# 18312	GREENSBURG, PA
B	08/26/2003 - 01/26/2009	SECURITY DISTRIBUTORS, INC.	CRD# 3336	TOPEKA, KS
IA	05/01/2003 - 08/07/2003	CITIZENS INVESTMENT SERVICES CORP.	CRD# 39550	NO. HUNTINGTON, PA
B	04/16/2002 - 08/07/2003	CITIZENS INVESTMENT SERVICES CORP.	CRD# 39550	JOHNSTON, RI
B	11/20/2001 - 03/28/2002	DREYFUS INVESTMENT SERVICES COMPANY, LLC	CRD# 17477	PITTSBURGH, PA



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	06/08/1999 - 04/03/2000	TALBOT FINANCIAL SERVICES, INC.	CRD# 46345	ALBUQUERQUE, NM
B	08/30/1997 - 12/11/1998	H.D. VEST INVESTMENT SECURITIES, INC.	CRD# 13686	DALLAS, TX
B	02/27/1997 - 09/25/1997	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
B	09/30/1996 - 02/20/1997	PNC BROKERAGE CORP	CRD# 34671	PITTSBURGH, PA
B	06/30/1994 - 10/04/1996	LAUGHLIN GROUP ADVISORS, INC.	CRD# 18272	LINCOLN, NE
B	02/09/1993 - 06/23/1994	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	02/09/1993 - 06/23/1994	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	02/18/1992 - 07/08/1992	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	02/18/1992 - 07/08/1992	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
01/2021 - Present	Ameriprise Financial Services, LLC	Registered Representative	Y	Greensburg, PA, United States
07/2019 - 11/2020	NORTHERN LIGHTS DISTRIBUTORS, LLC	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, United States
06/2019 - 11/2020	ABSOLUTE CAPITAL MANAGEMENT, LLC	ADVISORY DIRECTOR	Y	PITTSBURGH, PA, United States
03/2019 - 06/2019	UNEMPLOYED	UNEMPLOYED	N	PITTSBURGH, PA, United States
02/2014 - 03/2019	NORTHERN LIGHTS DISTRIBUTORS, LLC	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, United States
02/2014 - 03/2019	W.E. DONOGHUE & CO., INC.	REGIONAL VICE PRESIDENT	Y	NORWOOD, MA, United States



Registration & Employment History



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.

Business Ownership; Diversified Market Solutions DBA Paint Parties and More; help with running things- marketing- advertising- paperwork; Consulting; 630 Oakhurst Dr, , North Huntingdon, PA, 15642; Not Investment-Related; 02/01/2021; 1 to 9 hours per month; 0 during trading hours. Board of Directors; Tube City Media; Member; 404 Walnut Street, , McKeesport, PA, 15132; Not Investment-Related; 02/01/2021; 1 to 9 hours per month; 0 during trading hours. Outside Employment; ST Bank; VP Financial Advisor - Meet with referred clients looking for financial planning assistance.; ; 701 E. Pittsburgh Street, , Greensburg, PA, 15601; Investment-Related; 01/25/2021; 60 hours per month; 60 during trading hours.



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	1

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:	PNC BROKERAGE CORP
Allegations:	CUSTOMER EXPRESSED DISSATISFACTION WITH THE SALES PRACTICES OF AGENT WASHOWICH. SPECIFICALLY, CUSTOMER ALLEGED THAT WASHOWICH MADE MISREPRESENTATIONS OF DEATH BENEFITS OF VARIABLE ANNUITIES.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$22,167.00

Customer Complaint Information

Date Complaint Received:	06/20/2000
Complaint Pending?	No
Status:	Settled
Status Date:	07/20/2000
Settlement Amount:	\$5,417.02
Individual Contribution Amount:	\$0.00

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint:

TALBOT/SAFECO

Allegations:

CUSTOMER PASSED AWAY 3/25/00. BENEFICIARY REQUESTED A BENEFIT QUOTE ON 4/29/00. THEY WERE QUOTED FROM MS. MILANO. I WAS AT A DIFFERENT FIRM AT THIS TIME. THEY WERE QUOTED \$154,275.78 BUT THE DEATH CERTIFICATE WAS LOST (DELAYED) AND DID NOT GET TO PUTNAM FOR SEVERAL WEEKS. THE ACCOUNT VALUE WAS \$132,107.79 THEN AND THE BENEFICIARY WANTED THE AMOUNT QUOTED ON 4/29/00. I HAVE ALL OFFICIAL LETTERS FROM CUSTOMER AND PNC REPLY AS WELL AS SIGNED RELEASE BY CUSTOMER.

Product Type:

Annuity(ies) - Variable

Alleged Damages:

\$22,167.99

Customer Complaint Information

Date Complaint Received:

06/20/2000

Complaint Pending?

No

Status:

Settled

Status Date:

07/18/2000

Settlement Amount:

\$5,417.00

Individual Contribution Amount:

\$0.00

Broker Statement

THE TIME FRAME FOR THIS COMPLAINT AS STATED ABOVE MAY 4, 2000 TO JUNE 1, 2000. I WAS AT A DIFFERENT FIRM UNABLE TO PROVIDE THE BEST CUSTOMER SERVICE THAT MY CLIENTS EXPECT. THE COMPENSATORY AMOUNT PAID WAS FOR THE DELAY OF LIQUIDATING THE ACCOUNT DUE TO THE PROCESS OF HANDLING THE PAPERWORK. I HAVE ALL DOCUMENTATION AND IT CAN BE PROVIDED IF NEEDED.



End of Report

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