IAPD Report

John Leroy Fuller

CRD# 2208797

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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

User Guidance

www.adviserinfo.sec.gov

Report Summary

John Leroy Fuller (CRD# 2208797)

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 **02/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/10/2024
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/10/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	EDWARD JONES	250	MARTINEZ, CA	01/25/2007 - 12/21/2023
B	EDWARD JONES	250	MARTINEZ, CA	06/25/2003 - 12/21/2023
B	H&R BLOCK FINANCIAL ADVISORS, INC.	5979	DETROIT, MI	01/27/2003 - 06/26/2003

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	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 **16** 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	01/10/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	01/10/2024
B	Arizona	Agent	Approved	01/10/2024
B	California	Agent	Approved	01/10/2024
IA	California	Investment Adviser Representative	Approved	01/10/2024
B	Colorado	Agent	Approved	01/10/2024
B	Delaware	Agent	Approved	01/10/2024
B	Florida	Agent	Approved	01/10/2024
B	Idaho	Agent	Approved	01/10/2024
B	Michigan	Agent	Approved	01/10/2024
B	Missouri	Agent	Approved	01/10/2024
B	Nevada	Agent	Approved	01/10/2024
B	Oregon	Agent	Approved	01/10/2024

Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	01/10/2024
B	South Carolina	Agent	Approved	03/07/2025
IA	South Carolina	Investment Adviser Representative	Approved	03/07/2025
B	Tennessee	Agent	Approved	01/10/2024
B	Utah	Agent	Approved	01/10/2024
B	Virginia	Agent	Approved	01/10/2024
B	Washington	Agent	Approved	01/10/2024

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
1333 N CALIFORNIA BLVD
STE 630
WALNUT CREEK, CA 94596

AMERIPRISE FINANCIAL SERVICES, LLC
1330 Arnold Dr Ste 254
Martinez, CA 94553-6538

AMERIPRISE FINANCIAL SERVICES, LLC
Martinez, CA

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/03/1998
B	General Securities Principal Examination (S24)	Series 24	09/30/1998

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	NYSE Supervisory Analyst Examination (S16)	Series 16	07/13/1999
B	General Securities Representative Examination (S7)	Series 7	01/12/1996
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/06/1993

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/18/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/02/1998

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	01/25/2007 - 12/21/2023	EDWARD JONES	CRD# 250	MARTINEZ, CA
B	06/25/2003 - 12/21/2023	EDWARD JONES	CRD# 250	MARTINEZ, CA
B	01/27/2003 - 06/26/2003	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	DETROIT, MI
B	08/19/1998 - 12/31/2001	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
B	04/07/1993 - 07/24/1998	FRANKLIN/TEMPLETON DISTRIBUTORS, INC.	CRD# 332	SAN MATEO, CA

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
01/2024 - Present	Ameriprise Financial Services, LLC	Registered Representative	Y	Walnut Creek, CA, United States
06/2003 - 12/2023	EDWARD JONES	INVESTMENT REP	Y	ST LOUIS, MO, 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.

Other Business Activities; Cash Flow ? The Holy Grail of Finance; Writing a book; 120 St Malo Ct, , Martinez, CA, 94553; Not Investment-Related; 10/15/2025; 1 to 9 hours per month; 1 to 9 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:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	9/4/07-1/09; CLIENT CLAIMS AT THE TIME THE ANNUITY WAS PURCHASED SHE WAS INFORMED BY THE FA IT WOULD PAY HER $1900.00 PER MONTH FOR 20 YEARS. CLIENT CLAIMS IT WAS DECIDED THEY WOULD WAIT A YEAR BEFORE BEGINNING TO TAKE PAYMENTS TO ALLOW IT TO GROW AND WHEN SHE SPOKE WITH FA IN 2008 SHE WAS INFORMED SHE WOULD ONLY BE PAID $1000. CLIENT CLAIMS SHE WOULD HAVE NEVER AGREED TO THIS IF SHE HAD KNOWN. CLIENT ALSO CLAIMS SHE INSTRUCTED THE FA TO GET HER OUT OF THE MARKET WHEN IT HIT 9500, 9000 BUT IT WAS NEVER DONE. SHE CLAMS SHE AGAIN CONTACTED THE FA WHEN IT HIT 8500 AND THE FA SAID IT WOULD GET DONE. CLIENT CLAIMS SHE THEN CONTACTED THE FA TO TRANSFER OUT HER ACCOUNT DUE TO THESE ISSUES. CLAIM EXCEEDS $5,000
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	01/14/2009
Complaint Pending?	No
Status:	Denied
Status Date:	03/17/2009
Settlement Amount:	

Individual Contribution Amount:	
Broker Statement	FA STATED APPROX 18 MONTHS OF INCOME WAS SET ASIDE IN CASH FOR USE TO RIDE OUT DOWNTURNS IN MARKET. CLIENT ALSO HELD ANOTHER IRA OUTSIDE OF EDWARD JONES WITH APPROX $80,000 IN A CASH POSITION. HE INDICATED ALL ASPECTS OF ANNUITY WERE DISCUSSED AND IT WAS DECIDED CLIENT WOULD RE-EVALUATE HER SITUATION AT A LATER TIME TO DETERMINE IF OR WHEN THE INCOME FOR LIFE RIDER SHOULD BE ADDED TO THE CONTRACT. FA STATED AT NO TIME DID HE PROVIDE CLIENT WITH THE $1,900 FIGURE REFERENCE IN LETTER. LINCOLN FINANCIAL HAS ALSO CONFIRMED THEY HAVE NO RECORD OF PROVIDING THIS FIGURE. THE CONTRACT AND PROSPECTUSES WERE PROVIDED TO CLIENT AND THE ANNUITY CONTRACT VERIFICATION FORM WAS SIGNED BY CLIENT ON 9/20/07. CLIENT WAS ALSO PROVIDED WITH A RIGHT TO CANCEL; HOWEVER, IT APPEARS SHE DID NOT ELECT TO EXERCISE THIS OPTION. IN REGARD TO CONCERNS INVOLVING THE LIQUIDATION OF ACCT, FA STATED HE EXPLAINED HE WOULD HAVE TO SPEAK WITH CLIENT ON THE DAY THE MARKET REACHED THE LEVEL SHE WANTED TO SELL BEFORE AN ORDER COULD BE PLACED. FA INDICATED HE SPOKE WITH CLIENT WHEN THE MARKET HIT 9500 AND 9000 AND EACH TIME CLIENT DECIDED NOT TO SELL. IT IS MY UNDERSTANDING CLIENT'S FINAL INSTRUCTIONS WERE TO SELL WHEN THE MARKET HIT 8500. FA STATED HE CONTACTED CLIENT TO SEE IF SHE STILL WISHED TO SELL AND CLIENT INFORMED HIM TO LEAVE EVERYTHING AS IT WAS AS SHE WAS TRANSFERRING HER ACCOUNT TO FIDELITY. EDJ DOES NOT ALLOW FOR THE USE OF DISCRETION IN ANY MANNER AND IT DOES APPEAR FA MADE CLIENT AWARE HE WOULD HAVE TO SPEAK WITH HER BEFORE AN ORDER COULD BE PLACED. BASED ON OUR REVIEW, WHILE FA DID COMMUNICATE WITH CLIENT, NO SPECIFIC INSTRUCTION TO LIQUIDATE CLIENT'S ACCOUNT WAS GIVEN. CLAIM DENIED.

End of Report

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