



IAPD Report

Roland K Cook

CRD# 2215333

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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>



Report Summary

Roland K Cook (CRD# 2215333)

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 **05/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/10/2021
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/10/2021

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	J.P. MORGAN SECURITIES LLC	79	FLAGSTAFF, AZ	10/01/2012 - 09/11/2021
IA	J.P. MORGAN SECURITIES LLC	79	FLAGSTAFF, AZ	10/01/2012 - 09/11/2021
IA	CHASE INVESTMENT SERVICES CORP.	25574	FLAGSTAFF, AZ	12/20/2005 - 10/01/2012

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 **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
	FINRA	General Securities Principal	Approved	09/10/2021
	FINRA	General Securities Representative	Approved	09/10/2021
	FINRA	Invest. Co and Variable Contracts	Approved	09/10/2021
	Alabama	Agent	Approved	11/18/2025
	Arizona	Agent	Approved	09/10/2021
	California	Agent	Approved	01/12/2024
	Colorado	Agent	Approved	11/18/2025
	Connecticut	Agent	Approved	05/19/2026
	Delaware	Agent	Approved	01/13/2026
	District of Columbia	Agent	Approved	05/19/2026
	Illinois	Agent	Approved	02/22/2024
	Indiana	Agent	Approved	02/22/2024
	Kentucky	Agent	Approved	02/22/2024



Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	11/18/2025
B	Michigan	Agent	Approved	09/10/2021
B	Minnesota	Agent	Approved	02/22/2024
B	Montana	Agent	Approved	10/05/2021
B	Nevada	Agent	Approved	09/10/2021
B	New Jersey	Agent	Approved	02/22/2024
B	New Mexico	Agent	Approved	09/10/2021
B	New York	Agent	Approved	06/04/2025
B	North Carolina	Agent	Approved	11/18/2025
B	Oregon	Agent	Approved	05/19/2026
B	Pennsylvania	Agent	Approved	02/22/2024
B	South Carolina	Agent	Approved	12/18/2025
B	Tennessee	Agent	Approved	11/18/2025
B	Texas	Agent	Approved	09/10/2021
IA	Texas	Investment Adviser Representative	Approved	09/10/2021
B	Washington	Agent	Approved	09/10/2021
B	Wisconsin	Agent	Approved	06/18/2024

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
809 W Riordan Rd



Qualifications

Ste 101
Flagstaff, AZ 86001

AMERIPRISE FINANCIAL SERVICES, LLC
Flagstaff, AZ



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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	03/23/2000

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	09/16/1994
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/07/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/08/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/03/1992



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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
B	10/01/2012 - 09/11/2021	J.P. MORGAN SECURITIES LLC	CRD# 79	FLAGSTAFF, AZ
IA	10/01/2012 - 09/11/2021	J.P. MORGAN SECURITIES LLC	CRD# 79	FLAGSTAFF, AZ
IA	12/20/2005 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	FLAGSTAFF, AZ
B	07/06/2005 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	FLAGSTAFF, AZ
B	01/02/2003 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL
B	06/18/2001 - 12/04/2002	HANTZ FINANCIAL SERVICES, INC.	CRD# 46047	SOUTHFIELD, MI
B	08/12/1994 - 07/02/2001	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	08/12/1994 - 07/02/2001	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	05/08/1992 - 05/11/1993	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA

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
09/2021 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	REGISTERED REP	Y	FLAGSTAFF, AZ, United States
10/2012 - 09/2021	J.P. MORGAN SECURITIES LLC	Private Client Advisor	Y	FLAGSTAFF, AZ, United States
07/2005 - 07/2017	STICKY SHEETS UNLIMITED, LLC.	PRIVATE INVESTOR	N	COLORADO SPRINGS, CO, 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.

Real Estate Ownership; Single Family; 210 W Cedar Ave, , Flagstaff, AZ, 86001; Investment-Related; 12/15/2018.



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: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: THE CLIENT ALLEGED DAMAGES IN EXCESS OF \$75,000 BETWEEN NOVEMBER 1997 AND NOVEMBER 2004. FINANCIAL ADVISOR ROLAND COOK SERVICED THE CLIENT'S ACCOUNTS BETWEEN NOVEMBER 1997 AND AUGUST 2000. THE CLIENT SPECIFICALLY STATED THAT MR.COOK DID NOT ASSIST HIM WITH HIS ACCOUNT SERVICE NEEDS.

Product Type: Money Market Fund(s)

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$75,000.00

Customer Complaint Information

Date Complaint Received: 11/12/2004

Complaint Pending? No

Status: Denied

Status Date: 12/10/2004

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE FIRM FOUND THAT THE ALLEGED DAMAGES WERE NOT DIRECTLY ASSOCIATED WITH THE PERIOD THAT I SERVICED THE CLIENT.



Reporting Source: Individual

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

Allegations: THE CLIENT ALLEGED DAMAGES IN EXCESS OF \$75,000 BETWEEN NOV 1997 AND NOV 2004. FA ROLAND COOK SERVICED THE CLIENTS ACCOUNTS BETWEEN NOV 1997 & AUG 2000. THE CLIENT SPECIFICALLY STATED THAT MR. COOK DID NOT ASSIST HIM WITH HIS ACCOUNT SERVICE NEEDS.

Product Type: Mutual Fund(s)

Alleged Damages: \$75,000.00

Customer Complaint Information

Date Complaint Received: 11/12/2004

Complaint Pending? No

Status: Denied

Status Date: 12/10/2004

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement THE FIR FOUND THAT THE ALLEGED DAMAGES WERE NOT DIRECTLY ASSOCIATED WITH THE SERVICES FA ROLAND COOK SERVICED THE CLIENT.

Disclosure 2 of 2

Reporting Source: Firm

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

Allegations: CLIENT ALLEGES ADVISOR GAVE POOR INVESTMENT ADVICE RESULTING IN SUBSTANTIAL LOSSES.

Product Type: Annuity(ies) - Fixed

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 02/13/2003

Complaint Pending? No

Status: Denied

Status Date: 04/07/2003

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE INVESTMENTS MET THE CLIENTS GOALS AND OBJECTIVES AT TIME



OF THE PURCHASE. \$20000.00 WAS INVESTED IN THE RAVA. THE CLIENT'S INVESTMENT TIMEFRAME WAS 10+ YEARS. CLIENT HAD NO IMMEDIATE NEED FOR THE INCOME AS \$100000.00 WAS SET ASIDE FOR LIQUIDITY AND DEBT PAYOFF GOALS.

Reporting Source: Individual

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

Allegations: BRYNA FRANK FEELS THAT THE INVESTMENT SOLD TO HER WAS NOT APPROPRIATE.

I PROVIDED FINANCIAL PLANNING ADVICE TO NETTIE GREGORY, WHO IS BRYNA FRANKS' AUNT, FROM APPROXIMATELY 1998 TO 2000 UNTIL SHE DIED. BRYNA FRANK RECEIVED APPROXIMATELY \$120,000 IN THE FORM OF AN INHERITANCE FROM NETTIE'S ESTATE. BRYNA ASKED ME FOR FINANCIAL PLANNING ADVICE. I COMPLETED A FINACIAL PLAN ASSET ALLOCATION FOR HER AFTER WE MET IN LATE 2000. BECAUE SHE HAD OVER \$40,000 IN REVOLVING DEBT I ONLY RECOMMENDED THAT SHE INVEST \$20,000. OVER A PERIOD OF TIME BETWEEN 2000 AND 2001 SHE SHARED WITH ME HOW SHE WAS GIVING AWAY MONEY TO FAMILY MEMBERS IN RESPONSE TO THEIR REQUESTS. I EXPRESSED MY CONCERN TO HER THAT SHE WAS GOING TO RUN OUT OF MONEY. SHE DID NOT DISCLOSE HER IMPROMTU GIFTING STRATEGY TO ME DURING THE FINANCIAL PLANNING PROCESS. I BELIEVE SHE WAS REPONDING TO THE WHIMS OF HER FAMILY.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 02/13/2003

Complaint Pending? No

Status: Denied

Status Date: 04/07/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE INVESTMENTS MET THE CLIENTS GOALS AND OBJECTIVES AT TIME OF THE PURCHASE. \$20000.00 WAS INVESTED IN THE RAVA. THE CLIENT'S INVESTMENT TIMEFRAME WAS 10+ YEARS. CLIENT HAD NO IMMEDIATE NEED FOR THE INCOME AS \$100000.00 WAS SET ASIDE FOR LIQUIDITY AND DEBT PAYOFF GOALS



End of Report

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