



IAPD Report

WILLIAM CHARLES ROBINSON

CRD# 2243931

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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

WILLIAM CHARLES ROBINSON (CRD# 2243931)

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 **02/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/03/2014
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/03/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **40** 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	OPPENHEIMER & CO. INC.	249	BOSTON, MA	04/10/2006 - 10/06/2014
B	OPPENHEIMER & CO. INC.	249	BOSTON, MA	03/15/2002 - 10/06/2014
B	GRUNTAL & CO., L.L.C.	372	NEW YORK, NY	06/20/1995 - 04/03/2002

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	3



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 **40** 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	10/03/2014
B	Alabama	Agent	Approved	10/03/2014
B	Alaska	Agent	Approved	09/28/2015
B	Arizona	Agent	Approved	10/03/2014
B	California	Agent	Approved	10/15/2014
B	Colorado	Agent	Approved	10/03/2014
B	Connecticut	Agent	Approved	10/03/2014
IA	Connecticut	Investment Adviser Representative	Approved	07/09/2024
B	District of Columbia	Agent	Approved	10/03/2014
B	Florida	Agent	Approved	10/03/2014
B	Georgia	Agent	Approved	10/03/2014
B	Hawaii	Agent	Approved	10/24/2014
B	Illinois	Agent	Approved	10/03/2014



Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	10/16/2014
B Iowa	Agent	Approved	10/13/2014
B Kentucky	Agent	Approved	10/13/2014
B Maine	Agent	Approved	10/15/2014
B Maryland	Agent	Approved	10/03/2014
B Massachusetts	Agent	Approved	10/10/2014
B Michigan	Agent	Approved	10/03/2014
B Minnesota	Agent	Approved	10/03/2014
B Montana	Agent	Approved	12/07/2021
B New Hampshire	Agent	Approved	10/03/2014
B New Jersey	Agent	Approved	10/03/2014
B New Mexico	Agent	Approved	10/03/2014
B New York	Agent	Approved	10/03/2014
B North Carolina	Agent	Approved	10/03/2014
B North Dakota	Agent	Approved	05/04/2016
B Ohio	Agent	Approved	10/03/2014
B Oregon	Agent	Approved	05/10/2024
B Pennsylvania	Agent	Approved	10/03/2014
B Puerto Rico	Agent	Approved	09/22/2023



Qualifications

Regulator	Registration	Status	Date
B Rhode Island	Agent	Approved	10/03/2014
B South Carolina	Agent	Approved	10/30/2014
B South Dakota	Agent	Approved	01/29/2026
B Tennessee	Agent	Approved	10/15/2014
B Texas	Agent	Approved	10/03/2014
IA Texas	Investment Adviser Representative	Restricted Approval	10/03/2014
B Utah	Agent	Approved	10/06/2014
B Vermont	Agent	Approved	10/03/2014
B Virginia	Agent	Approved	10/03/2014
B Washington	Agent	Approved	10/03/2014
B West Virginia	Agent	Approved	10/03/2014

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
Milton, MA

AMERIPRISE FINANCIAL SERVICES, LLC
424 Adams St
Suite 202A
Milton, MA 02186-4358



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	07/01/1992
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	03/29/2006
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B Uniform Securities Agent State Law Examination (S63)	Series 63	07/10/1992
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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	04/10/2006 - 10/06/2014	OPPENHEIMER & CO. INC.	CRD# 249	BOSTON, MA
B	03/15/2002 - 10/06/2014	OPPENHEIMER & CO. INC.	CRD# 249	BOSTON, MA
B	06/20/1995 - 04/03/2002	GRUNTAL & CO., L.L.C.	CRD# 372	NEW YORK, NY
B	07/06/1992 - 08/02/1995	H.J. MEYERS & CO., INC.	CRD# 15609	ROCHESTER, 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	Milton, MA, United States
10/2014 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Boston, MA, 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.

Real Estate Ownership; Lot/Land; Jerich Mountain Berlin NH, ; Investment-Related; 01/01/2008 / Single Family; 15 MillSt Unit 31, , Edgartown, MA, 02539; Investment-Related; 06/01/2025. Business Ownership; W.C. Robinson Group; Co-owner; Manage Ameriprise Business; 459 pleasant st, , milton, MA, 02186; Investment-Related; 03/19/2025; 20 to 39 hours per month; 20 to 39 during trading hours. Outside Employment; W.C. Robinson Group; Co-owner; Manage advisory business; 424 Admas St Suite 201A, , Milton, MA, 02186; Investment-Related; 03/19/2025; 20 to 39 hours per month; 20 to 39 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	3

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 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: UNAUTHORIZED AND UNSUITABLE TRANSATIONS. NO TIME PERIOD STATED BUT ACCOUNT WAS ACTIVE FROM 6/2008 TO 10/2008. ALTHOUGH MR. ROBINSON WAS NAMED IN THE COMPLAINT APPARENTLY AS A RESULT OF SHARING IN A JOINT REP NUMBER, IT IS THE FIRM'S UNDERSTANDING THAT SUBJECT ACCOUNT WAS NOT SERVICED BY MR. ROBINSON.

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

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO DAMAGES ALLEGED BUT BELIEVED TO BE OVER \$5000.

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: 05/21/2010

Complaint Pending? No



Status: Denied

Status Date: 06/02/2010

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GRUNTAL & CO./OPPENHEIMER & CO. INC.

Allegations: UNAUTHORIZED TRANSACTIONS DURING AN UNSPECIFIED TIME PERIOD.

Product Type: Mutual Fund(s)

Alleged Damages: \$220,222.00

Customer Complaint Information

Date Complaint Received: 04/24/2007

Complaint Pending? No

Status: Denied

Status Date: 04/30/2007

Settlement Amount:

Individual Contribution Amount:

Broker Statement

I DID NOT MAKE ANY UNAUTHORIZED TRANSACTIONS FOR THE CLIENT RATHER THEY HAD UNIT INVESTMENT TRUST THAT MATURED. THE CLIENT'S COMPLAINT IS SEVEN YEARS AFTER THE INVESTMENTS WERE PURCHASED. THE CLIENT HAD A LARGE DIVERSIFIED PORTFOLIO AND IS COMPLAINING ABOUT INVESTMENTS THAT WENT DOWN, WHILE IGNORING THE INVESTMENT THAT GAINED VALUE.

Disclosure 3 of 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: H.J. MEYERS & CO., INC.

Allegations: OTHER; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED-BREACH OF CONTRACT

Product Type:

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-01317

Date Notice/Process Served: 04/25/1997



Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/22/1997

Disposition Detail: CASE IS CLOSED, SETTLED
ACTUAL/COMPENSATORY DAMAGES, RELIEF
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND
SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD
AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES,
RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY
AND SEVERALLY

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: H.J. MEYERS & CO.

Allegations: UNAUTHORIZED TRADES, UNSUITABILITY

Product Type:

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date: 08/05/1996

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT; NORTHERN DISTRICT OF IL; 96 C 3493

Date Notice/Process Served: 08/05/1996

Litigation Pending? Yes

Firm Statement PENDING
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: H.J. MEYERS & CO., INC.

Allegations: BREACH OF FIDUCIARY DUTY, ACCOUNT RELATED
NEGLIGENCE, ACCOUNT RELATED BREACH OF CONTRACT.

Product Type:

Alleged Damages: \$100,000.00



Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation
Litigation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** National Assoc. of Securities Dealers; 97-01317

Date Notice/Process Served: 04/25/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/22/1997

**Monetary Compensation
Amount:** \$30,000.00

**Individual Contribution
Amount:** \$10,000.00

Civil Litigation Information

Court Details: DISTRICT; NORTHERN DISTRICT OF IL; 96 C 3493

Date Notice/Process Served: 08/05/1996

Litigation Pending? No

Disposition: Judgment (other than monetary)

Disposition Date:

Broker Statement

CASE WAS SETTLED FOR \$30,000. NO PENALTIES OR
FINES WERE IMPOSED. THE FIRM PAID \$20,000. THE BROKER PAID
\$10,000.

I STRONGLY DENY ANY WRONG DOING OR BREACH OF
DUTY. ALL RECOMMENDATIONS MET WITH CLIENTS INVESTMENT
OBJECTIVES OF SPECULATION AND TRADING. ALL RECOMMENDATIONS
WERE
FIRM RECOMMENDATIONS. THE CASE WAS SETTLED TO REDUCE THE
RISK
OF LITIGATION.



End of Report

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