



IAPD Report

JESSE LYNN WEBB

CRD# 2298761

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6

i 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

JESSE LYNN WEBB (CRD# 2298761)

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	11/12/2021
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/12/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	THE WOODLANDS, TX	02/01/2012 - 11/19/2021
B	OPPENHEIMER & CO. INC.	249	THE WOODLANDS, TX	01/12/2012 - 11/19/2021
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	THE WOODLANDS, TX	10/05/2007 - 02/09/2012

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
Regulatory Event	1
Customer Dispute	4
Termination	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 **17** 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	11/12/2021
B	Alabama	Agent	Approved	04/30/2025
B	Arizona	Agent	Approved	01/13/2022
B	California	Agent	Approved	11/12/2021
B	Colorado	Agent	Approved	04/01/2025
B	Florida	Agent	Approved	04/01/2025
B	Idaho	Agent	Approved	03/31/2025
B	Louisiana	Agent	Approved	04/01/2025
B	Michigan	Agent	Approved	09/19/2024
B	Minnesota	Agent	Approved	04/30/2025
B	Mississippi	Agent	Approved	11/23/2021
B	Nevada	Agent	Approved	07/15/2025
B	New York	Agent	Approved	03/31/2025



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	02/01/2022
B Tennessee	Agent	Approved	12/20/2021
B Texas	Agent	Approved	11/12/2021
IA Texas	Investment Adviser Representative	Approved	11/12/2021
B Utah	Agent	Approved	04/17/2025
B Washington	Agent	Approved	12/07/2021

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
24 WATERWAY AVE
STE 1400
THE WOODLANDS, TX 77380-3391

AMERIPRISE FINANCIAL SERVICES, LLC
The Woodlands, TX



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




Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.



General Industry/Product Exams

Exam	Category	Date
------	----------	------

 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	04/13/1996
 General Securities Representative Examination (S7)	Series 7	12/18/1992

State Securities Law Exams

Exam	Category	Date
------	----------	------

 Uniform Investment Adviser Law Examination (S65)	Series 65	07/13/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/09/1993

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
IA	02/01/2012 - 11/19/2021	OPPENHEIMER & CO. INC.	CRD# 249	THE WOODLANDS, TX
B	01/12/2012 - 11/19/2021	OPPENHEIMER & CO. INC.	CRD# 249	THE WOODLANDS, TX
B	10/05/2007 - 02/09/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	THE WOODLANDS, TX
IA	10/05/2007 - 02/09/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	THE WOODLANDS, TX
B	11/09/2001 - 10/16/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	THE WOODLANDS, TX
IA	11/09/2001 - 10/16/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	THE WOODLANDS, TX
B	01/18/1993 - 12/04/2001	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, 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
11/2021 - Present	Ameriprise Financial Services LLC	Registered Rep	Y	The Woodlands, TX, United States
01/2012 - 11/2021	OPPENHEIMER & CO. INC.	FINANCIAL CONSULTANT	Y	THE WOODLANDS, TX, 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.

Business Ownership; Lakeland Terrace, LLC; Limited Partner. No roles or responsibilities; Real Estate; 1855 Crane Ridge Drive, Jackson, MS, 39216; Investment-Related; 01/01/1999; 0 hours per month; 0 during trading hours / The Pinelands, LLC; None; Real Estate; 1855 Crane Ridge Drive, Jackson, MS, 39216; Investment-Related; 10/01/2021; 0 hours per month; 0 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
Regulatory Event	1
Customer Dispute	4
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Michigan
Sanction(s) Sought:	Other: Notice of Intent to Deny, Condition, or Limit Securities Agent Registration Application
Date Initiated:	09/05/2018
Docket/Case Number:	337223
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Allegations:	The Administrator intends to deny the securities agent registration application of Jesse Lynn Webb, under section 412(1) of the Securities Act, MCL 451.2412(1), because Applicant engaged in dishonest or unethical behavior in the securities industry within the previous ten years, which supports the denial of his registration application under the above-cited provisions of the Michigan Uniform Securities Act (2002), 2008 PA 551, MCL 451.2101 et seq.
Current Status:	Final
Resolution:	Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 09/05/2018

Sanctions Ordered: Denial

Reporting Source: Individual

Regulatory Action Initiated By: MICHIGAN

Sanction(s) Sought: Other: NOTICE OF INTENT TO DENY, CONDITION, OR LIMITED SECURITIES AGENT REGISTRATION APPLICATION

Date Initiated: 09/05/2018

Docket/Case Number: 337223

Employing firm when activity occurred which led to the regulatory action: OPPENHEIMER & CO. INC.

Product Type: No Product

Allegations: The Administrator intends to deny the securities agent registration application of Jesse Lynn Webb, under section 412(1) of the Securities Act, MCL 451.2412(1), because Applicant engaged in dishonest or unethical behavior in the securities industry within the previous ten years, which supports the denial of his registration application under the above-cited provisions of the Michigan Uniform Securities Act (2002), 2008 PA 551, MCL 451.2101 et seq.

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 10/18/2018

Sanctions Ordered: Denial



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 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES, LLC

Allegations: The client alleged that the advisor invested them in a Cleveland Cliffs structured note that was not in their best interest as it carried too much risk by being tied to one equity.

Product Type: Other: Structured Note

Alleged Damages: \$18,000.00

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: 05/12/2025

Complaint Pending? No

Status: Denied

Status Date: 06/27/2025

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Merrill Lynch, Pierce, Fenner & Smith Incorporated

Allegations: The Customer alleges unsuitable investment recommendations from 2008 to 2012.

Product Type: No Product

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Damages are not specified.

Arbitration Information



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

Docket/Case #: 15-00167

Date Notice/Process Served: 10/30/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/12/2016

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Firm Statement This matter was settled in order to avoid the cost and uncertainty of litigation. The Financial Advisor did not contribute monetarily towards the settlement.

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CLAIMANT ALLEGES THAT FROM 2008 THROUGH THE PRESENT, THE REGISTERED REPRESENTATIVE TOOK ADVANTAGE OF CLAIMANT'S DISABILITY AND FRAUDULENTLY INDUCED HIM INTO MAKING UNSOUND INVESTMENTS AND CONVERTING HIS IRA TO A ROTH IRA.

Product Type: No Product

Alleged Damages: \$478,688.00

Alleged Damages Amount Explanation (if amount not exact): IN ADDITION TO THE ABOVE AMOUNT, CLAIMANT ALLEGES DAMAGES SUFFERED DUE TO LOSSES IN SOCIAL SECURITY AND MEDICARE BENEFITS,

Arbitration Information

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

Docket/Case #: 15-00167

Date Notice/Process Served: 02/02/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/04/2016

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Broker Statement 10/4/16 CASE AGAINST FA IS DISMISSED

**Disclosure 3 of 4**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMERS ALLEGE UNAUTHORIZED TRADING AND MISREPRESENTATION REGARDING AUCTION RATE SECURITIES FROM JUNE 2008 TO SEPTEMBER 2008.

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$2,500,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-01707

Filing date of arbitration/CFTC reparation or civil litigation: 04/09/2010

Customer Complaint Information

Date Complaint Received: 04/26/2010

Complaint Pending? No

Status: Settled

Status Date: 02/09/2011

Settlement Amount: \$2,400,000.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMER ALLEGES MISREPRESENTATION AND UNSUITABLE INVESTMENT RECOMMENDATIONS.

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$3,500,000.00

Customer Complaint Information

Date Complaint Received: 04/27/2010

Complaint Pending? No

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



Status Date: 04/27/2009

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 09-03605

Date Notice/Process Served: 06/23/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/10/2010

Monetary Compensation Amount: \$1,818,750.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: 270TH JUDICIAL DISTRICT COURT

Location of Court: HARRIS COUNTY, TEXAS

Docket/Case #: 200924295

Date Notice/Process Served: 04/27/2009

Litigation Pending? No

Disposition: Other: VOLUNTARILY REFILED AS ARBITRATION

Disposition Date: 06/23/2009

Broker Statement ALLEGATIONS DENIED. THE MATTER WAS SETTLED TO AVOID THE EXPENSES AND UNCERTAINTY OF LITIGATION.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Termination Type: Voluntary Resignation
Termination Date: 01/11/2012
Allegations: ALLEGATIONS THAT THE REGISTERED REPRESENTATIVE ENGAGED IN A PURPORTED REAL ESTATE TRANSACTION OUTSIDE THE FIRM WITH A CLIENT WITHOUT MANAGEMENT'S PRIOR KNOWLEDGE OR CONSENT. ALLEGATIONS THAT THE REGISTERED REPRESENTATIVE SUBSEQUENTLY SOLD THE SAME PROPERTY TO A THIRD PARTY AND KEPT THE EARNEST MONEY FROM THE SALE, DESPITE THE FACT THAT THE RR CLAIMED THE SUBSEQUENT SALE WAS FOR THE CLIENT'S BENEFIT.
Product Type: No Product

Reporting Source: Individual
Firm Name: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Termination Type: Voluntary Resignation
Termination Date: 01/11/2012
Allegations: ALLEGATIONS THAT THE REGISTERED REPRESENTATIVE ENGAGED IN A PURPORTED REAL ESTATE TRANSACTION OUTSIDE THE FIRM WITH A CLIENT WITHOUT MANAGEMENT'S PRIOR KNOWLEDGE OR CONSENT. ALLEGATIONS THAT THE REGISTERED REPRESENTATIVE SUBSEQUENTLY SOLD THE SAME PROPERTY TO A THIRD PARTY AND KEPT THE EARNEST MONEY FROM THE SALE, DESPITE THE FACT THAT THE RR CLAIMED THE SUBSEQUENT SALE WAS FOR THE CLIENT'S BENEFIT.
Product Type: No Product



End of Report

This page is intentionally left blank.