



IAPD Report

CHRISTOPHER MILAM BLACK

CRD# 2308591

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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

CHRISTOPHER MILAM BLACK (CRD# 2308591)

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 **02/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	12/18/2015
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	12/18/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	DALLAS, TX	12/15/2010 - 12/28/2015
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	DALLAS, TX	12/15/2010 - 12/28/2015
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	RICHARDSON, TX	12/18/2015 - 12/18/2015

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
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 **15** 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	12/18/2015
B FINRA	Invest. Co and Variable Contracts	Approved	12/18/2015
B Arizona	Agent	Approved	01/05/2024
B California	Agent	Approved	01/04/2024
B Colorado	Agent	Approved	12/18/2015
B Florida	Agent	Approved	08/30/2024
B Georgia	Agent	Approved	01/09/2024
B Idaho	Agent	Approved	10/16/2025
B Minnesota	Agent	Approved	05/20/2023
B New Hampshire	Agent	Approved	02/03/2026
B New Mexico	Agent	Approved	05/15/2025
B Oklahoma	Agent	Approved	01/08/2024
B South Dakota	Agent	Approved	01/04/2024



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	04/13/2018
B Texas	Agent	Approved	12/18/2015
IA Texas	Investment Adviser Representative	Approved	12/18/2015
B Washington	Agent	Approved	01/21/2021
B West Virginia	Agent	Approved	01/15/2020

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
Dallas, TX

AMERIPRISE FINANCIAL SERVICES, LLC
6860 Dallas Pkwy Ste 550
Plano, TX 75024



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, 4 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	01/21/1998
 General Securities Representative Examination (S7)	Series 7	12/07/1993
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/29/1993

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	06/07/1995
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/03/1993

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	12/15/2010 - 12/28/2015	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	DALLAS, TX
IA	12/15/2010 - 12/28/2015	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	DALLAS, TX
IA	12/18/2015 - 12/18/2015	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	RICHARDSON, TX
B	09/01/2006 - 12/23/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	DALLAS, TX
IA	09/01/2006 - 12/23/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	DALLAS, TX
IA	01/07/1994 - 09/12/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	DALLAS, TX
B	12/08/1993 - 09/12/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	DALLAS, TX
B	02/02/1993 - 09/22/1993	A I M DISTRIBUTORS, INC.	CRD# 7369	HOUSTON, TX

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
12/2015 - Present	Ameriprise Financial Service, LLC	Registered Rep	Y	Plano, TX, United States
12/2015 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Richardson, 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.

No information reported.



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
Termination	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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	THE CUSTOMERS ALLEGE FAILURE TO FOLLOW INSTRUCTIONS IN JUNE 2010.
Product Type:	Equity Listed (Common & Preferred Stock) Other: OPTIONS
Alleged Damages:	\$22,388.00
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:	07/01/2010
Complaint Pending?	No
Status:	Closed/No Action



Status: Closed/NO ACTION

Status Date: 07/09/2010

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: UNSUATABILITY, EXCESSIVE TRADING, NEGLIGENCE BETWEEN 11/4/99 AND 12/12/00.

Product Type: Options

Alleged Damages: \$70,887.24

Customer Complaint Information

Date Complaint Received: 12/13/2000

Complaint Pending? No

Status: Denied

Status Date: 02/15/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement

PLEASE ARCHIVE, NOT REPORTABLE.
AFTER A COMPREHENSIVE REVIEW OF THE FACTS OF SURROUNDING CLAIMANTS' COMPLAINT LETTER, SALOMON SMITH BARNEY DENIED CLAIMANT'S CLAIM BECAUSE CLAIMANT ELECTED TO INVEST IN CERTAIN POSITIONS AFTER BEING APPRISED OF THE RISKS AND BENEFITS. WE EXPECTED THAT CLAIMANT WAS GOING TO FILE A FORMAL ARBITRATION, SINCE THAT HAS NOT OCCURRED, WE ARE CLOSING THIS MATTER.



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

Termination Type: Discharged

Termination Date: 12/10/2010

Allegations: DISREGARD OF MANAGEMENT'S DIRETCTIVE REGARDING TRADING AND ATTEMPTED USE OF AN ALTERED IRA DISTRIBUTION DOCUMENT IN A DECEASED CLIENT'S ACCOUNT.

Product Type: Annuity-Fixed
Annuity-Variable

Reporting Source: Individual

Firm Name: MERRILL LYNCH

Termination Type: Discharged

Termination Date: 12/10/2010

Allegations: DISREGARD OF MANAGEMENT'S DIRETCTIVE REGARDING TRADING AND ATTEMPTED USE OF AN ALTERED IRA DISTRIBUTION DOCUMENT IN A DECEASED CLIENT'S ACCOUNT.

Product Type: Annuity-Fixed
Annuity-Variable

Broker Statement

WE HAD A MERRILL LYNCH POWER OF ATTORNEY AS WELL AS A STATE OF TEXAS DURABLE POWER OF ATTORNEY ON FILE THAT GAVE CLIENT'S SON DECISION MAKING AUTHORITY IN ALL ACCOUNTS INCLUDING IRA. BEFORE CLIENTS PASSING, THE SON SIGNED FORMS TO HAVE THE MINIMUM DISTRIBUTION TAKEN FROM THE IRA. WHEN PROCESSING THE DISTRIBUTION THE FIRM SAID THAT BOTH POWER OF ATTORNEY DOCUMENTS HAD NOT BEEN FULLY APPROVED EVEN THOUGH THEY HAD BEEN SIGNED AND NOTARIZED IN AUGUST 2008, TWO YEARS PRIOR. THEREFORE THE DISTRIBUTION FROM THE IRA COULD NOT BE PROCESSED. IN THE INTERIM THE CLIENT PASSED AWAY WHICH MADE THE MERRILL LYNCH POWER OF ATTORNEY VALID. NOW THE OWNER OF THE IRA IS THE BENEFICIARY, THE CLIENT'S SPOUSE. THE TEXAS DURABLE POWER OF ATTORNEY WE HAD ON FILE GAVE THE SON DECISION MAKING AUTHORITY FOR HIS MOM, BUT THE FIRM SAID THIS DOCUMENT HAD ALSO NOT BEEN FULLY APPROVED IN 2008. WITH YEAR END APPROACHING THE SON AND I MADE THE DECISION TO FORCE THE DISTRIBUTION TO BE MADE BY OPERATIONS BECAUSE THERE WOULD BE PENALTIES IF THE DISTRIBUTION WAS NOT MADE. WHEN WE WENT TO PROCESS THE IRA DISTRIBUTION DOCUMENT IT COULD NOT BE FOUND ANYWHERE. SO THE SON SIGNED A NEW DISTRIBUTION DOCUMENT AND BACK DATED IT TO WHEN WE RECEIVED IT ORIGINALLY BEFORE THE CLIENT'S PASSING. WE DEEMED THAT BOTH POWERS OF ATTORNEY WERE VALID WHICH WOULD ALLOW THE SON TO SIGN ON BEHALF OF HIS FATHER, THE ORIGINAL IRA OWNER, OR SIGN ON BEHALF OF HIS MOM,



THE NEW OWNER/BENEFICIARY. THE FIRM WOULD STILL NOT VALIDATE THE POWERS OF ATTORNEY AND DETERMINED THAT I HAD DISREGARDED THAT FACT BY TRYING GET THE DISTRIBUTION DONE AND HAD ALSO USED AN ALTERED DISTRIBUTION DOCUMENT. THEY FELT THIS WAS JUST CAUSE FOR TERMINATING ME. A FEW MONTHS LATER AS THE RESULT OF CONSTANT PRESSURE FROM THE FAMILY'S ATTORNEY, THE FIRM, MADE THE DECISION TO ALLOW THE POWERS OF ATTORNEY TO BE USED AND THE DISTRIBUTION WAS MADE.



End of Report

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