IAPD Report

SAMUEL RAY HEAD

CRD# 2456312

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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

SAMUEL RAY HEAD (CRD# 2456312)

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 **03/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/08/2020
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/08/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **47** 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	VOYA FINANCIAL ADVISORS, INC.	2882	COLUMBIA, SC	09/24/1998 - 06/11/2020
B	VOYA FINANCIAL ADVISORS, INC.	2882	COLUMBIA, SC	06/06/1997 - 06/11/2020
B	NYLIFE SECURITIES INC.	5167	NEW YORK, NY	01/10/1995 - 06/06/1997

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	5

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 **47** 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	06/08/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	06/08/2020
B	Alabama	Agent	Approved	08/19/2020
B	Arizona	Agent	Approved	06/08/2020
B	Arkansas	Agent	Approved	05/03/2023
B	California	Agent	Approved	06/08/2020
B	Colorado	Agent	Approved	07/18/2023
B	Connecticut	Agent	Approved	06/09/2020
B	Delaware	Agent	Approved	06/05/2023
B	District of Columbia	Agent	Approved	08/29/2024
B	Florida	Agent	Approved	06/09/2020
B	Georgia	Agent	Approved	06/08/2020
B	Idaho	Agent	Approved	08/04/2022

Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	08/16/2023
B	Indiana	Agent	Approved	07/06/2023
B	Iowa	Agent	Approved	05/19/2023
B	Kansas	Agent	Approved	05/16/2023
B	Kentucky	Agent	Approved	04/28/2023
B	Louisiana	Agent	Approved	05/17/2023
B	Maine	Agent	Approved	05/31/2023
B	Maryland	Agent	Approved	06/08/2020
B	Michigan	Agent	Approved	06/15/2020
B	Minnesota	Agent	Approved	09/22/2022
B	Mississippi	Agent	Approved	04/25/2023
B	Missouri	Agent	Approved	07/06/2023
B	Montana	Agent	Approved	07/12/2023
B	Nebraska	Agent	Approved	03/03/2021
B	Nevada	Agent	Approved	06/24/2020
B	New Hampshire	Agent	Approved	05/16/2023
B	New Jersey	Agent	Approved	06/08/2020
B	New Mexico	Agent	Approved	05/17/2023
B	New York	Agent	Approved	06/08/2020

Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	06/08/2020
B	North Dakota	Agent	Approved	05/22/2023
B	Ohio	Agent	Approved	01/27/2022
B	Oklahoma	Agent	Approved	04/28/2021
B	Pennsylvania	Agent	Approved	06/12/2020
B	Rhode Island	Agent	Approved	05/22/2023
B	South Carolina	Agent	Approved	06/08/2020
IA	South Carolina	Investment Adviser Representative	Approved	06/08/2020
B	South Dakota	Agent	Approved	05/17/2023
B	Tennessee	Agent	Approved	06/15/2020
B	Texas	Agent	Approved	06/08/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	06/08/2020
B	Utah	Agent	Approved	05/17/2023
B	Vermont	Agent	Approved	05/30/2023
B	Virginia	Agent	Approved	06/08/2020
B	Washington	Agent	Approved	05/31/2023
B	West Virginia	Agent	Approved	06/15/2020
B	Wisconsin	Agent	Approved	05/11/2023

Qualifications

	Regulator	Registration	Status	Date
B	Wyoming	Agent	Approved	12/07/2020

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
119A Professional Park Dr
Seneca, SC 29678-2558

AMERIPRISE FINANCIAL SERVICES, LLC
Columbia, SC

AMERIPRISE FINANCIAL SERVICES, LLC
Isle of Palms, SC

AMERIPRISE FINANCIAL SERVICES, LLC
4481 Oleander Dr Ste 1B
Myrtle Beach, SC 29577

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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/16/2000
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/09/1995

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/14/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/09/1995

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
IA	09/24/1998 - 06/11/2020	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	COLUMBIA, SC
B	06/06/1997 - 06/11/2020	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	COLUMBIA, SC
B	01/10/1995 - 06/06/1997	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, 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
06/2020 - Present	Ameriprise Financial Services, LLC	Registered Representative	Y	Seneca, SC, United States
09/2014 - 06/2020	VOYA FINANCIAL ADVISORS	REGISTERED REP	Y	COLUMBIA, SC, United States
04/2007 - 06/2020	CAROLINAS WEALTH MANAGEMENT	MANAGING PARTNER	Y	COLUMBIA, SC, United States
05/2002 - 06/2020	ANCHOR FINANCIAL PLANNING & ASSET MANAGEMENT	PARTNER	Y	COLUMBIA, SC, United States
01/2002 - 06/2020	SAM HEAD FINANCIAL PLANNING	OWNER	Y	COLA, SC, 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; Single Family; 402 W. Main St, , Walhalla, SC, 29691; Not Investment-Related; 10/25/2022. Independent Insurance Brokering; Pacific Life; 01/01/2015; Fixed Annuity / Athene; 01/01/2007; / Lincoln; 12/01/2013; . Business Ownership; Carolinas Wealth Management Inc; Managing Partner; Financial Planning; 119 A Professional Park Drive, , Seneca, SC, 29678; Investment-Related; 06/08/2020; 40 to 59 hours per month; 40 to 59 during trading hours / Seasons Development; I finance the construction of new homes that the builder and I sell and split the profits; Real estate development; 119A Professional Park Drive, , Seneca, SC, 29678; Investment-Related; 01/01/2015; 1 to 9 hours per month; 1 to 9 during trading hours / 119-B LLC; Co-owner of commercial real estate building. No regular duties.; Real estate; 119-B Professional Park Dr, , Seneca, SC, 29678; Not Investment-Related; 03/02/2005; 0 hours per month; 0 during trading hours / Seasons Homes LLC; This LLC was set up to hold rental properties, of which, we have none. This LLC will probably be dissolved.; Real estate; 111 Blackfox Way, , Sunset, SC, 29685; Not Investment-Related; 03/12/2019; 0 hours per month; 0 during trading hours / 402 W. Main St. Walhalla LLC; Owner; Real Estate; 111 Blackfox Way, , Sunset, SC, 29685; Not Investment-Related; 07/22/2022; 1 to 9 hours per month; 0 during trading hours. Board of Directors; Cliffs Residence Outreach; member; na, , na, SC, 29676; Not Investment-Related; 08/01/2020; 1 to 9 hours per month; 1 to 9 during trading hours / Grace's Closet; Board Member; PO Box 126, , Walhalla, SC, 29691; Not

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Investment-Related; 10/25/2022; 1 to 9 hours per month; 1 to 9 during trading hours / Ripple of One; board member; 115 W South 1st Street, , Seneca, SC, 29678; Not Investment-Related; 06/01/2016; 1 to 9 hours per month; 1 to 9 during trading hours. Outside Employment; Carolinas Wealth Management Inc.; Managing Partner - Managing Parnter; ; 119-A Professional Park Drive, , Seneca, SC, 29678; Investment-Related; 06/08/2020; 40 to 59 hours per month; 40 to 59 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	5

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 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Voya Financial Advisors, Inc.
Allegations:	Customer alleges that investments sold to him in 2014 were unsuitable based on his desire to protect his principal.
Product Type:	Real Estate Security Other: Closed End Fund
Alleged Damages:	$315,000.00
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 Office of Dispute Resolution
Docket/Case #:	20-02867
Filing date of arbitration/CFTC reparation or civil litigation:	08/28/2020

Customer Complaint Information

Date Complaint Received:	09/09/2020
Complaint Pending?	No

Status:	Settled
Status Date:	02/23/2022
Settlement Amount:	$60,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Voya Financial Advisors, Inc.
Allegations:	Customer alleges that investments sold to him in 2014 were unsuitable based on his desire to protect his principal.
Product Type:	Real Estate Security Other: Closed End Fund
Alleged Damages:	$315,000.00
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 Office of Dispute Resolution
Docket/Case #:	20-02867
Filing date of arbitration/CFTC reparation or civil litigation:	08/28/2020

Customer Complaint Information

Date Complaint Received:	09/09/2020
Complaint Pending?	No
Status:	Settled
Status Date:	02/23/2022
Settlement Amount:	$60,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ING FINANCIAL PARTNERS, INC.
Allegations:	ALLEGATION THAT TRANSACTION DIRECTED IN CUSTOMER'S ACCOUNT ON JULY 2, 2009 WAS NOT ALLOCATED AS THE CUSTOMER HAD INSTRUCTED.
Product Type:	Annuity-Variable

Alleged Damages: $55,542.52

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/20/2010

Complaint Pending? No

Status: Settled

Status Date: 01/20/2010

Settlement Amount: $55,542.52

Individual Contribution Amount: $10,000.00

Broker Statement The Firm worked with the issuing insurance company to correct the trade allocation error.

Disclosure 3 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ING FINANCIAL PARTNERS, INC.

Allegations: THE CLIENT ALLEGES THAT THE REGISTERED REPRESENTATIVE FAILED TO HONOR HER REQUESTS TO LIQUIDATE HER HARTFORD VARIABLE ANNUITY CONTRACT. SHE ASSERTS HER CLAIM AGAINST RESPONDENTS BASED UPON BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, FRAUD, NEGLIGENCE, AND GROSS NEGLIGENCE. SHE ALSO ALLEGES THAT THE FIRM FAILED TO SUPERVISE.

Product Type: Annuity-Variable

Alleged Damages: $130,000.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANT IS SEEKING COMPENSATORY DAMAGES IN AN AMOUNT APPROXIMATED TO BE $130,000 PLUS: PRE-JUDGMENT INTEREST, PUNITIVE DAMAGES, REASONABLE ATTORNEY'S FEES AND COSTS.

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: 11/09/2008

Complaint Pending? No

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

Status Date: 01/16/2009

Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-00368
Date Notice/Process Served:	02/09/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/21/2011
Monetary Compensation Amount:	$45,000.00
Individual Contribution Amount:	$10,000.00
Broker Statement	WITHOUT ADMITTING ANY WRONGDOING OR LIABILITY, THE FIRM AND THE REPRESENTATIVE ENTERED INTO A SETTLEMENT AGREEMENT WITH THE CLIENT IN EXCHANGE FOR A RELEASE OF ALL CLAIMS. THIS WAS DONE SOLELY FOR BUSINESS PURPOSES TO AVOID A COSTLY AND LENGTHY LEGAL PROCEEDING.

Disclosure 4 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ING FINANCIAL PARTNERS, INC.
Allegations:	CLIENT ALLEGES THAT THE REGISTERED REPRESENTATIVE SOLD HER INVESTMENTS THAT WERE HIGHER RISK THAN SHE HAD WANTED. SHE ALSO ALLEGES THAT UNAUTHORIZED REALLOCATIONS WERE MADE TO HER ACCOUNT.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	THIS MATTER IS BEING REPORTED BECAUSE THE COMPLAINANT HAS ALLEGED NO DOLLAR AMOUNT AND THE FIRM CANNOT MAKE A GOOD FAITH DETERMINATION THAT DAMAGES FROM THE ALLEGED CONDUCT WOULD BE LESS THAN $5,000.
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:	10/31/2008
Complaint Pending?	No

Status:	Settled
Status Date:	06/12/2009
Settlement Amount:	$2,646.28
Individual Contribution Amount:	$2,646.28
Broker Statement	WITHOUT ADMITTING LIABILITY OR WRONGDOING, THE FIRM AND REPRESENTATIVE ENTERED INTO A SETTLEMENT AGREEMENT WITH THE CUSTOMER IN EXCHANGE FOR A RELEASE OF ALL CLAIMS. THE SETTLEMENT WAS MADE SOLELY FOR BUSINESS REASONS AND TO AVOID A LENGTHY AND COSTLY LEGAL PROCEEDING

Disclosure 5 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WASHINGTON SQUARE SECURITIES, INC.
Allegations:	CLIENT ALLEGES THAT REGISTERED REPRESENTATIVE PLACED HIM IN AN UNSUITABLE SUB ACCOUNT FOR HIS RISK TOLERANCE AND INVESTMENT OBJECTIVES.
Product Type:	Insurance
Alleged Damages:	$18,561.53
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:	05/12/2003
Complaint Pending?	No
Status:	Denied
Status Date:	06/11/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE INSURANCE COMPANY REVIEWED THE CLIENT'S CONCERNS AND FOUND NO RESPONSIBILITY ON THE PART OF THE COMPANY OR THE REPRESENTATIVE.

End of Report

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