



IAPD Report

JEFFREY MICHAEL CROSBY

CRD# 2473917

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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

JEFFREY MICHAEL CROSBY (CRD# 2473917)

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 **03/26/2026**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|------------------------------------|-----------|------------------|
| B | AMERIPRISE FINANCIAL SERVICES, LLC | CRD# 6363 | 06/24/1994 |
| IA | AMERIPRISE FINANCIAL SERVICES, LLC | CRD# 6363 | 07/11/1994 |

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 |
|----------|----------------------------|------|-----------------|-------------------------|
| B | IDS LIFE INSURANCE COMPANY | 6321 | MINNEAPOLIS, MN | 06/24/1994 - 07/03/2006 |

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 **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 | 06/24/1994 |
| B | Alaska | Agent | Approved | 04/23/2012 |
| IA | Alaska | Investment Adviser Representative | Approved | 07/25/2022 |
| B | Arizona | Agent | Approved | 10/25/2004 |
| B | California | Agent | Approved | 01/23/1995 |
| B | Colorado | Agent | Approved | 09/30/2008 |
| B | District of Columbia | Agent | Approved | 04/10/2003 |
| B | Florida | Agent | Approved | 04/03/2006 |
| B | Georgia | Agent | Approved | 11/14/2019 |
| B | Hawaii | Agent | Approved | 07/26/2023 |
| B | Idaho | Agent | Approved | 06/11/2012 |
| B | Illinois | Agent | Approved | 11/25/2002 |
| B | Iowa | Agent | Approved | 10/20/2023 |



Qualifications

| | Regulator | Registration | Status | Date |
|---|----------------|--------------|----------|------------|
| B | Maryland | Agent | Approved | 08/03/2021 |
| B | Massachusetts | Agent | Approved | 07/17/2012 |
| B | Michigan | Agent | Approved | 03/25/2003 |
| B | Minnesota | Agent | Approved | 04/08/2003 |
| B | Missouri | Agent | Approved | 10/31/2023 |
| B | Montana | Agent | Approved | 05/05/2014 |
| B | Nevada | Agent | Approved | 04/02/2003 |
| B | New Hampshire | Agent | Approved | 11/04/2025 |
| B | New Jersey | Agent | Approved | 11/27/2002 |
| B | New Mexico | Agent | Approved | 04/22/2025 |
| B | New York | Agent | Approved | 04/12/2003 |
| B | North Carolina | Agent | Approved | 07/22/2020 |
| B | North Dakota | Agent | Approved | 05/16/2022 |
| B | Ohio | Agent | Approved | 05/10/2022 |
| B | Oklahoma | Agent | Approved | 03/13/2023 |
| B | Oregon | Agent | Approved | 10/14/1999 |
| B | Pennsylvania | Agent | Approved | 08/31/2017 |
| B | Puerto Rico | Agent | Approved | 06/29/2018 |
| B | Rhode Island | Agent | Approved | 10/14/2020 |



Qualifications

| Regulator | Registration | Status | Date |
|-------------------------|-----------------------------------|---------------------|------------|
| B South Carolina | Agent | Approved | 05/11/2022 |
| B South Dakota | Agent | Approved | 07/31/2015 |
| B Tennessee | Agent | Approved | 10/30/2017 |
| B Texas | Agent | Approved | 10/05/2000 |
| IA Texas | Investment Adviser Representative | Restricted Approval | 09/28/2006 |
| B Utah | Agent | Approved | 09/19/2019 |
| B Virginia | Agent | Approved | 02/12/2001 |
| B Washington | Agent | Approved | 06/24/1994 |
| IA Washington | Investment Adviser Representative | Approved | 07/11/1994 |
| B West Virginia | Agent | Approved | 05/13/2022 |
| B Wisconsin | Agent | Approved | 03/04/2026 |
| B Wyoming | Agent | Approved | 02/07/2022 |

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
 4055 LAKE WASHINGTON BLVD NE
 STE 200
 KIRKLAND, WA 98033-7871

AMERIPRISE FINANCIAL SERVICES, LLC
 201 NE PARK PLAZA DR
 STE 166
 VANCOUVER, WA 98684-5808

AMERIPRISE FINANCIAL SERVICES, LLC
 3201 C St Ste 402
 Anchorage, AK 99503

AMERIPRISE FINANCIAL SERVICES, LLC
 Kirkland, WA



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 |
|------|----------|------|
|------|----------|------|

No information reported.

General Industry/Product Exams


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


| | | |
|--|-----|------------|
|  Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|--|-----|------------|

| | | |
|--|----------|------------|
|  General Securities Representative Examination (S7) | Series 7 | 06/23/1994 |
|--|----------|------------|

State Securities Law Exams

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

| | | |
|--|-----------|------------|
|  Uniform Investment Adviser Law Examination (S65) | Series 65 | 04/27/1994 |
|--|-----------|------------|

| | | |
|--|-----------|------------|
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 04/21/1994 |
|--|-----------|------------|

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 | 06/24/1994 - 07/03/2006 | IDS LIFE INSURANCE COMPANY | CRD# 6321 | MINNEAPOLIS, MN |

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 | Kirkland, WA, United States |
| 03/1994 - 03/2020 | Ameriprise Financial Services, Inc. | Registered Rep | Y | Seattle, WA, 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; 102 31st Street NW, , East Wenatchee, WA, 98802; Not Investment-Related; 11/25/2021 / Lot/Land; 0 Highway 97, , Chelan, WA, 98816; Not Investment-Related; 11/20/2021. Business Ownership; 3xEquity; Provide direction to team and speak to advisors about practice value and educate on various BD's; Consulting; 4055 Lake Washington BLVD NE, Suite 275, , Kirkland, WA, 98033; Not Investment-Related; 01/07/2013; 60 hours per month; 40 to 59 during trading hours / Totem Pole, LLC; N/A; Entity that holds a rental property; 4055 Lake Washington BLVD NE, Suite 200, , Kirkland, WA, 98033; Not Investment-Related; 09/21/2021; 0 hours per month; 0 during trading hours / Mill Bay Marine Rentals, LLC; Provide the onsite team direction; Boat rental business; 4055 Lake Washington BLVD NE, Suite 200, , Kirkland, WA, 98033; Not Investment-Related; 09/21/2021; 1 to 9 hours per month; 1 to 9 during trading hours / Lake Chelan Property Group, LLC; N/A; Entity that holds a rental property; 4055 Lake Washington BLVD NE, Suite 200, , Kirkland, WA, 98033; Not Investment-Related; 09/21/2021; 1 to 9 hours per month; 1 to 9 during trading hours / Crosby Coaching; N/A - not actively working it; Other Ameriprise Advisors are coached on best practice models.; 4055 Lake Washington BLVD NE, Suite 200, , Kirkland, WA, 98033; Not Investment-Related; 01/01/2009; 0 hours per month; 0 during trading hours / NMK LLC; Manager; Entity to hold/purchase commercial real estate where our Ameriprise Financial advisory office is located in Kirkland, WA.; 4055 Lake Washington BLVD NE, Suite 200, , Kirkland, WA, 98033; Not Investment-Related; 06/17/2013; 1 to 9 hours per month; 1 to 9 during trading hours / Chapala Property Group, LLC; N/A; Entity that holds a rental property; 4055 Lake Washington BVLVD NE, Suite 200, , Kirkland, WA, 98033; Not Investment-Related; 09/21/2021; 0 hours per month; 0 during trading hours / Swartout Property Group, LLC; N/A; Entity that holds a rental property; 1457 Swartout Road, , Manson, WA, 98831; Not Investment-Related; 05/31/2022; 0 hours per month; 0 during trading hours / Mill Bay Marine & Storage, LLC; Provide the onsite team direction; Winter boat storage, boat repair shop and boat rentals; 221 Summer Breeze RD, , Manson, WA, 98831; Not Investment-Related; 04/01/2016; 1 to 9 hours per month; 1 to 9 during trading hours / Chelanathon LLC; Owner; Multisport racing; 4055 Lake WA Blvd NE, Suite 100, Kirkland, WA, 98033; Not Investment-Related; 02/27/2025; 10 to 19 hours per month; 1 to 9 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: | Individual |
| Employing firm when activities occurred which led to the complaint: | AMERIPRISE FINANCIAL SERVICES, INC. |
| Allegations: | CLIENT STATED HE BELIEVED HIS REAL ESTATE INVESTMENT TRUST PURCHASED IN FEBRUARY 2007 WAS A CASH POSITION. |
| Product Type: | Real Estate Security |
| Alleged Damages: | \$11,000.00 |
| 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: | 03/05/2012 |
| Complaint Pending? | No |
| Status: | Denied |
| Status Date: | 05/16/2012 |

Settlement Amount:

Individual Contribution Amount:

**Disclosure 2 of 5**

Reporting Source: Individual

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

Allegations: CUSTOMER CLAIMS A LOSS OF OVER \$1,000,000.00 BEGINNING IN MAY 2000 BECAUSE OF HER REGISTERED REPRESENTATIVE'S ALLEGED FAILURE TO PROPERLY MANAGE HER INVESTMENTS, INCLUDING HER EXERCISE OF STOCK OPTIONS. LAIMANT FURTHER ALLEGES UNSUITABILITY, NEGLIGENCE, BREACH OF FIDUCIARY DUTY AND FAILURE TO SUPERVISE

Product Type: Other

Other Product Type(s): BROKERAGE ACCOUNT - MUTUAL FUNDS

Alleged Damages: \$1,174,207.00

Customer Complaint Information

Date Complaint Received: 03/03/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/10/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR #03-04617

Date Notice/Process Served: 07/10/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/16/2004

Monetary Compensation Amount: \$410,000.00

Individual Contribution Amount: \$0.00

Broker Statement IN THIS AGITRATION THAT BEGAN AS A WRITTEN COMPLAINT RECEIVED ON 03/03/2003, AMERICAN EXPRESS FINANCIAL ADVISORS PAID [CUSTOMER] \$410,000.00 SETTLEMENT AMOUNT. CROSBY DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. [CUSTOMER] DISMISSED ALL CLAIMS AGAINST AEFA AND CROSBY IN THIS NASD CASE NO 03-04617

Disclosure 3 of 5

Reporting Source: Individual

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



Allegations: CUSTOMERS ALLEGE THAT SOMETIME IN FEBRUARY 2000, AEFA AND REGISTERED REPRESENTATIVE, JEFFREY M. CROSBY, WERE NEGLIGENT IN HANDLING THEIR ACCOUNTS AND THAT THEY WERE MISINFORMED ABOUT INVESTMENT FEES. THE CUSTOMERS ALSO CLAIM THAT JEFFREY M. CROSBY FORGED THEIR INITIALS ON ACCOUNT DOCUMENTS AND THAT JEFFREY M. CROSBY WASN'T PROPERLY LICENSED

Product Type: Mutual Fund(s)

Other Product Type(s): ANNUITY
LTD. PARTNERSHIP
FACE AMOUNT CERTIFICATES
BROKERAGE ACCOUNTS

Alleged Damages: \$450,364.00

Customer Complaint Information

Date Complaint Received: 07/29/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/16/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR 02-04254

Date Notice/Process Served: 07/29/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/29/2003

Monetary Compensation Amount: \$70,000.00

Individual Contribution Amount: \$0.00

Broker Statement IN ORDER TO AVOID COSTS ASSOCIATED WITH ARBITRATION, AEFA PAID SETTLEMENT AMOUNT OF \$70,000.00 TO THE WERTS. CROSBY DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. THE WERTS IN TURN RELEASED AEFA AND CROSBY FROM ALL CLAIMS IN THIS MATTER.

Disclosure 4 of 5

Reporting Source: Individual

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

Allegations: SINCE JANUARY 2000, THE CLIENTS ALLEGED THAT I RECOMMENDED UNSUITABLE INVESTMENTS FOR THEIR ENTIRE PORTFOLIO AND SPECIFICALLY, I DID NOT DISCLOSE SURRENDER CHARGES ON THE NON-QUALIFIED FLEXIBLE PORTFOLIO ANNUITY AS THE CLIENT HAS



REQUESTED TO MOVE THE ANNUITY OUTSIDE OF THE FIRM.

Product Type: Other
Other Product Type(s): IDS LIFE FLEXIBLE PORTFOLIO ANNUITY NON-QUALIFIED
Alleged Damages: \$20,619.80

Customer Complaint Information

Date Complaint Received: 10/12/2001
Complaint Pending? No
Status: Denied
Status Date: 01/18/2002
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Broker Statement THE COMPANY REVIEW FOUND THAT THE INVESTMENT RECOMMENDATIONS WERE SUITABLE AND CONSISTENT WITH THE CLIENTS' GOALS AND OBJECTIVES. IN ADDITION, THE REVIEW FOUND THAT THE CLIENTS RECEIVED THE APPROPRIATE DISCLOSURE OF THE FEES AND CHARGES ASSOCIATED WITH THE PRODUCTS.

Disclosure 5 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS INC

Allegations: CLIENT'S SHARES OF NEW PLAN REALTY STOCK AND CISCO STOCK WERE SOLD TO PURCHASE SHARES OF AXP NEW DIMENSIONS IN SEPTEMBER, 1997. AS A RESULT, THE CLIENT ALLEGED THAT I SOLD THE CISCO SHARES IN ERROR. THE CISCO SHARES WERE TO BE TRANSFERRED ONLY AND NOT SOLD. THE CLIENT ALLEGED THAT THE VALUE OF THE CISCO SHARES WOULD NOW BE APPROXIMATELY \$35,877 AS OPPOSED TO THE \$8,404 VALUE OF THE NEW DIMENSIONS ACCOUNT. THE CLIENT IS ASKING THAT THIS ERROR BE CORRECTED.

Product Type: Mutual Fund(s)
Alleged Damages: \$27,073.00

Customer Complaint Information

Date Complaint Received: 07/19/2000
Complaint Pending? No
Status: Settled
Status Date: 02/15/2001
Settlement Amount: \$9,054.29
Individual Contribution Amount: \$9,054.29

Broker Statement THE CLIENT ACCEPTED THE FIRM'S OFFER TO REPURCHASE THE CISCO SHARES THAT WERE SOLD IN ERROR. THE CLIENT ALLEGED THAT THE SIGNATURE AUTHORIZING THE INITIAL LIQUIDATION OF THE CISCO



SHARES ON THE IRA/KEOGH REQUEST FOR CUSTODIAL TRANSFER FROM
WAS NOT THEIR OWN. IT REMAINS UNCLEAR AS TO WHO ACTUALLY
SIGNED THE FORM.



End of Report

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