IAPD Report

DAVID ROSS THOMPSON

CRD# 2504328

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

DAVID ROSS THOMPSON (CRD# 2504328)

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 **12/02/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/05/2009
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/05/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	AMERIPRISE ADVISOR SERVICES, INC.	5979	SUN CITY CENTER, FL	07/07/2003 - 10/05/2009
B	AMERIPRISE ADVISOR SERVICES, INC.	5979	SUN CITY CENTER, FL	07/27/1994 - 10/05/2009
IA	RSM MCGLADREY, INC.	111221	SEMINOLE, FL	07/17/2002 - 07/09/2003

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 **24** 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 Principal	Approved	10/05/2009
B	FINRA	General Securities Representative	Approved	10/05/2009
B	FINRA	General Securities Sales Supervisor	Approved	10/05/2009
B	Alabama	Agent	Approved	02/05/2016
B	Arizona	Agent	Approved	10/05/2009
B	California	Agent	Approved	03/04/2021
B	Colorado	Agent	Approved	07/23/2013
B	Delaware	Agent	Approved	11/03/2025
B	Florida	Agent	Approved	10/05/2009
IA	Florida	Investment Adviser Representative	Approved	10/05/2009
B	Georgia	Agent	Approved	10/05/2009
B	Illinois	Agent	Approved	10/05/2009
B	Indiana	Agent	Approved	05/13/2022

Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	10/05/2009
B	Maryland	Agent	Approved	10/05/2009
B	Massachusetts	Agent	Approved	06/05/2023
B	Michigan	Agent	Approved	10/05/2009
B	Minnesota	Agent	Approved	10/05/2009
B	Missouri	Agent	Approved	10/05/2009
B	New York	Agent	Approved	10/05/2009
B	North Carolina	Agent	Approved	10/05/2009
B	North Dakota	Agent	Approved	10/05/2009
B	Oregon	Agent	Approved	11/12/2015
B	South Carolina	Agent	Approved	05/06/2019
B	Tennessee	Agent	Approved	03/20/2024
B	Texas	Agent	Approved	10/05/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	03/03/2010
B	Utah	Agent	Approved	10/18/2016
B	Wisconsin	Agent	Approved	10/05/2009

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
St. Petersburg, FL

AMERIPRISE FINANCIAL SERVICES, LLC
7317 Merchant Ct Ste B
Lakewood Ranch, FL 34240

Qualifications

AMERIPRISE FINANCIAL SERVICES, LLC
10225 Ulmerton Rd Ste 5B
Largo, FL 33771-3520

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	01/19/2004
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	05/23/1997

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	11/22/2005
B	General Securities Representative Examination (S7)	Series 7	07/26/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/28/2000
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/01/1994

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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	07/07/2003 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	SUN CITY CENTER, FL
B	07/27/1994 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	SUN CITY CENTER, FL
IA	07/17/2002 - 07/09/2003	RSM MCGLADREY, INC.	CRD# 111221	SEMINOLE, FL

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	Seminole, FL, United States
10/2009 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Sun City Center, FL, United States
10/2009 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	St Petersburg, FL, 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; 335 47th avenue north #142, st. petersburg, fl 33703, ,; Not Investment-Related; 02/03/2003 / Single Family; 335 47th avenue north #144, st. petersuburg, fl 33703, ,; Not Investment-Related; 02/03/2003 / Single Family; 334 48th avenue north #228, st. petersburg, fl 33703, ,; Not Investment-Related; 02/03/2003 / Single Family; 956 8th avenue south, st. petersburg, fl 33705, ,; Not Investment-Related; 02/03/2003 / Single Family; 1074 15th avenue south, st. petersburg, fl 33705, ,; Not Investment-Related; 02/03/2003 / Single Family; 575 Clearwater Largo Road, Largo, FL 33770. 16 unit Apartment bu, ,; Not Investment-Related; 02/03/2003 / Single Family; 378 48th Avenue North #122, , St. Petersburg, FL, 33703; Not Investment-Related; 02/03/2003 / Single Family; 334 48th ave no, unit 235, st petersburg, FL, 33703; Investment-Related; 03/20/2024 / Single Family; 334 48th Avenue North, #230, Saint Petersburg, FL, 33703; Investment-Related; 04/15/2025. Business Ownership; D & K Enterprises, LLC; ; Limited liability company within which we own income producing residential real estate.; 10104 Tarpon Drive Treasure Island, FL 33706, ,; Investment-Related; 01/27/2003; 1 to 9 hours per month; 0 during trading hours / 1968 Partners, LLC (DBA Smoothie King); ; We finalized a lease today and anticipate opening for business in January 2017. My wife will be the owner/operator and will be in charge of all operations. This is her second location, the first of which is under Payjac Partners, LLC. I will periodically help with business planning or an occasional marketing event. I will not be receiving any compensation.; 11290 Park Boulevard Seminole, FL 33772, ,; Not Investment-Related; 01/01/2017; 1 to 9 hours per month; 0 during trading hours / RT Excel, LLC; sole owner/president; My Ameriprise Financial Advisory practice; 10104 Tarpon Drive, , Treasure Island, FL, 33706; Investment-Related; 03/11/2020; 20 to 39 hours per month; 20 to 39 during trading hours / Payjac Partners, LLC (DBA Smoothie King (franchise); I am 50% owner with my wife being the other 50%. She is the owner operator. My roles are very minor and just to help out on a very infrequent basis. They would include -bring supplies from one store (we have a second store in Seminole, FL under the name 1968 Partners, LLC) to the other, buying supplies at

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Sam's club if we have shortage and can't wait for shipment, helping change menu prices on the menu board after hours, brining samples to local busineess (before COVID). I have worked in the store when absolutely needed -this has rarely amounted to more than 5 hours per year and most years it has been zero; My spouse is in the negotiations for a lease for a Smoothie King franchise which would open for business in early 2010. The business is held under Pelican Partners, LLC (changed to PayJack Partners, LLC on 2/8/10 so it would be in a supchapter S corp. Pelican Parnters, LLC is currently dormant-no business assets or real estate) for which my wife Kathleen will be in charge of all operations. The only involvment that I will have in the business will be occasionally selling smoothies at a high school football game or other athletic type event. I will not receive any compensation. I am disclosing this because I am listed as the vice president of Pelican Parnters, LLC.; 1474 66th Street North, , St. Peterssburg, FL, 33710; Not Investment-Related; 07/01/2010; 1 to 9 hours per month; 1 to 9 during trading hours. Board of Directors; Fourth Street Condominiums; Board Member; 1155 Pasadena Avenue South, , Pasadena, FL, 33707; Not Investment-Related; 04/24/2023; 1 to 9 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
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:	AMERIPRISE FINANCIAL SERVICES INC
Allegations:	ALLEGES FAILURE TO SUPERVISE REPRESENTATIVE IN CONNECTION WITH TRANSACTIONS OCCURRING BETWEEN JUNE 2005 AND NOVEMBER 2009.
Product Type:	Debt-Corporate Equity-OTC Equity Listed (Common & Preferred Stock) Other: EXCHANGE TRADED FUNDS
Alleged Damages:	$130,000.00
Alleged Damages Amount Explanation (if amount not exact):	APPROXIMATION BY CLIENT'S SON.
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:	01/19/2010
Complaint Pending?	No

Status:	Settled
Status Date:	04/27/2010
Settlement Amount:	$55,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES INC
Allegations:	CLIENT ALLEGES FAILURE TO SUPERVISE IN CONNECTION WITH TRANSACTIONS OCCURRING BETWEEN MAY 2007 AND SEPTEMBER 2008.
Product Type:	Debt-Corporate
Alleged Damages:	$98,246.00
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:	10/23/2009
Complaint Pending?	No
Status:	Denied
Status Date:	12/23/2009
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	H&R BLOCK FINANCIAL ADVISORS
Allegations:	NEGLIGENT IN GIVING TAX ADVICE, RESPONDENT BREACHED HIS FIDUCIARY DUTY BY MISREPRESENTING TAX INFORMATION GIVEN TO CLAIMANT AND OMITTING MATERIAL FACTS REGARDING THE POTENTIAL CONSEQUENCES OF FOLLOWING RESPONDENT'S ADVICE.
Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES AND/OR PRODUCT.
Alleged Damages:	$10,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #00-04476
Date Notice/Process Served:	10/09/2000
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	03/14/2001
Disposition Detail:	RESPONDENT IS LIABLE AND SHALL PAY TO THE CLAIMANT $625.00.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OLDE DISCOUNT CORPORATION
Allegations:	CLAIMANT ALLEGED THAT HE RELIED ON TAX ADVICE TO SELL 500 MCK ON MAY 31, 2000. CLAIMING MISREPRESENTATION REGARDING TAX CONSEQUENCES OF SALE. ALLEGES $10,000.00 BUT SEEKING REINSTATEMENT OF POSITION WHICH AT THIS TIME WOULD COST APPROXIMATELY $5000.00.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	08/10/2000
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/16/2000
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRATION NO. 00-04476
Date Notice/Process Served:	10/16/2000
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	03/15/2001
Monetary Compensation Amount:	$1,250.00
Individual Contribution Amount:	$625.00
Broker Statement	THE ARBITRATION PANEL FOUND DAVID THOMPSON LIABLE FOR $625.00. H&R BLOCK FINANCIAL ADVISORS WAS FOUND LIABLE FOR $625.00. BOTH RESPONDENTS WERE FOUND JOINTLY AND SEVERALLY LIABLE TO PAY

$162.50 AS REIMBURSEMENT OF THE FILING FEE.

End of Report

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