



IAPD Report

CLAUDE CHRISTOPHER MC MANUS

CRD# 2526077

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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

CLAUDE CHRISTOPHER MC MANUS (CRD# 2526077)

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 **02/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/31/1994
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/27/2010

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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 FINANCIAL SERVICES, INC.	6363	MINNEAPOLIS, MN	10/03/2006 - 10/07/2006
B	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	10/31/1994 - 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
Criminal	1
Customer Dispute	4



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 **8** 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	10/31/1994
B	FINRA	General Securities Principal	Approved	02/23/2000
B	FINRA	General Securities Sales Supervisor	Approved	04/29/2003
B	Alabama	Agent	Approved	12/05/2018
B	California	Agent	Approved	07/13/2017
B	Florida	Agent	Approved	04/09/1996
B	Georgia	Agent	Approved	07/29/2014
B	Indiana	Agent	Approved	10/16/1998
B	Michigan	Agent	Approved	01/03/1995
IA	Michigan	Investment Adviser Representative	Approved	09/27/2010
B	Minnesota	Agent	Approved	12/08/2016
B	Virginia	Agent	Approved	11/09/1994

Branch Office Locations



Qualifications

AMERIPRISE FINANCIAL SERVICES, LLC

975 3 MILE RD NW
STE 12
GRAND RAPIDS, MI 49544

AMERIPRISE FINANCIAL SERVICES, LLC

Comstock Park, MI






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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/28/2003
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	02/28/2003
 General Securities Principal Examination (S24)	Series 24	02/21/2000

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/28/1994

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/23/2010
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/24/1994

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
IA	10/03/2006 - 10/07/2006	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN
B	10/31/1994 - 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	Grand Rapids, MI, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Grand Rapids, MI, 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.

Board of Directors; West Michigan Recruiting District Advisory Council; Former Chair. Board Member; Family Center/US Amry Reserves Three Mile Road NW Grand Rapids, , MI 49506,; Not Investment-Related; 01/01/2008; 1 to 9 hours per month; 0 during trading hours. Other Business Activities; Knights of Columbus; Charitable work.; Holy Trinity Church 1200 Alpine Church Road Comstock Park, MI 49, ,; Not Investment-Related; 09/13/2013; 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
Criminal	1
Customer Dispute	4

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	MILITARY (US NAVY ACTIVE DUTY)/NORFOLK, VA/PCN: 942344364305
Charge Date:	08/27/1992
Charge Details:	1) RAPE, COUNT 1, FELONY, NOT GUILTY 2) INDECENT ASSAULT, COUNT 1, MISDEMEANOR, NOT GUILTY 3) FRATERNIZATION, COUNT 1, MISDEMEANOR, NOT GUILTY
Felony?	Yes
Current Status:	Final
Status Date:	04/15/1993
Disposition Details:	1) RAPE, DISMISSED - NOT GUILTY 2) INDECENT ASSAULT, DISMISSED - NOT GUILTY 3) FRATERNIZATION, DISMISSED - NOT GUILTY
Broker Statement	LESBIAN PROSTITUTION RING BROKEN UP, REVENGE AGAINST ME AND OTHERS IN COMMAND, 6/91 TO 4/93



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 INC

Allegations: THE CLIENT ALLEGED HER ANNUITY WAS NOT SUITABLE INSIDE HER IRA BECAUSE SHE DID NOT NEED THE ANNUITY BENEFITS AND SHE CLAIMED HER MUTUAL FUND INVESTMENTS WERE BEYOND HER RISK TOLERANCE AND B SHARES WERE NOT APPROPRIATE. THE CLIENT REQUESTED A WAIVER OF HER SURRENDER CHARGES PLUS ANY FEES PAID.

Product Type: Annuity(ies) - Variable

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$5,873.20

Customer Complaint Information

Date Complaint Received: 07/16/2008

Complaint Pending? No

Status: Denied

Status Date: 11/16/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement OUR REVIEW FOUND THE INVESTMENTS APPEARED SUITABLE FOR THE CLIENT, SHE WAS GIVEN THE OPPORTUNITY TO REVIEW EVERYTHING AND BROUGHT A THIRD PARTY REGISTERED REPRESENTATIVE TO A LEAST ONE MEETING TO REVIEW THE RECOMMENDATIONS MADE AND SHE AGREED TO ALL FEES CHARGED AT THE TIME APPLICATIONS WERE SIGNED.

Disclosure 2 of 4

Reporting Source: Individual

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

Allegations: PLAINTIFF ALLEGES THAT DUE TO NEGLIGENT ESTATE PLANNING AND INVESTMENT ADVICE PROVIDED BY ADVISOR AND ESTATE PLANNING ATTORNEY (CO-DEFENDANT) HE SUFFERED DAMAGES BELIEVED TO BE IN EXCESS OF \$900,000, BASED ON AN INHERITANCE FROM HIS MOTHER THAT HE NEVER RECEIVED.

Product Type: Mutual Fund



Alleged Damages: \$900,000.00

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: 11/04/2004

Complaint Pending? No

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

Status Date: 11/28/2004

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/CFTC reparation
claim filed with (FINRA, AAA,
CFTC, etc.):** AAA GRAND RAPIDS, MICHIGAN

Docket/Case #: NO CASE #

Date Notice/Process Served: 11/28/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/21/2005

**Monetary Compensation
Amount:** \$100,000.00

**Individual Contribution
Amount:** \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: IN THE CIRCUIT COURT OFR THE COUNTY OF KENT

Location of Court: KENT COUNTY, MI

Docket/Case #: 04-10614-CZ

Date Notice/Process Served: 11/04/2004

Litigation Pending? No

Disposition: Other: MOVED FROM COURT MATTER TO AAA

Disposition Date: 11/28/2004

**Monetary Compensation
Amount:** \$0.00

**Individual Contribution
Amount:** \$0.00

Broker Statement THIS MATTER MOVED FROM A COURT MATTER TO A AAA ON 11/28/2004.



AMERIPRISE SETTLED THIS MATTER FOR \$100,000.00 IN ORDER TO AVOID COSTS ASSOCIATED WITH ARBITRATION. I WAS DISMISSED FROM THE CASE AS PART OF THE SETTLEMENT AND I CONTRIBUTED NOTHING TO THE SETTLEMENT AMOUNT.

Disclosure 3 of 4

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations:

CLAIMANT ALLEGES THAT IN JANUARY 1998 AEFA AND ITS ADVISORS RECOMMENDED \$981,000 IN RETIREMENT FUNDS BE INVESTED IN UNSUITABLE SECURITIES. CLAIMANT SEEKS DAMAGES OF \$180,000.00 + UNSPECIFIED COMPENSATORY AND PUNITIVE DAMAGES

Product Type:

Other

Other Product Type(s):

BROKERAGE ACCOUNTS

Alleged Damages:

\$180,000.00

Customer Complaint Information**Date Complaint Received:**

04/05/2004

Complaint Pending?

No

Status:

Arbitration/Reparation

Status Date:

04/05/2004

Settlement Amount:**Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:**

NASD ARBITRATION CASE #04-02196

Date Notice/Process Served:

04/05/2004

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

07/29/2005

Monetary Compensation Amount:

\$45,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

AEFA SETTLED THIS MATTER FOR \$45,000 IN ORDER TO AVOID THE COSTS ASSOCIATED WITH ARBITRATION. I WAS DISMISSED FROM THE CASE AS PART OF THE SETTLEMENT AND I CONTRIBUTED NOTHING TO THE SETTLEMENT AMOUNT.

Disclosure 4 of 4

Reporting Source:

Individual



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

Allegations: THE CLIENT'S ATTORNEY CLAIMED THE ADVISOR MISMANAGED THE CLIENT'S RETIREMENT SAVINGS. THE PURCHASES WERE MADE IN MAY 1999.

Product Type: Mutual Fund

Alleged Damages: \$82,295.00

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: 04/15/2003

Complaint Pending? No

Status: Settled

Status Date: 08/28/2003

Settlement Amount: \$90,000.00

Individual Contribution Amount: \$0.00

Broker Statement OUR REVIEW FOUND THE INVESTMENTS MAY HAVE BEEN BEYOND THE CLIENT'S RISK TOLERANCE. THE CLIENT ACCEPTED OUR OFFER OF COMPENSATION IN THE AMOUNT OF \$90000.00.



End of Report

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