



IAPD Report

JOEL DAVID MATTHEWS

CRD# 2627133

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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

JOEL DAVID MATTHEWS (CRD# 2627133)

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 **01/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/25/1996
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/18/1999

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **38** 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	06/25/1996 - 07/03/2006
B	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ	06/28/1995 - 03/20/1996

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



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 **38** 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	Invest. Co and Variable Contracts	Approved	06/25/1996
B	FINRA	General Securities Representative	Approved	07/03/1996
B	FINRA	General Securities Principal	Approved	12/22/2000
B	Alabama	Agent	Approved	12/13/2022
B	Arizona	Agent	Approved	07/16/2019
B	California	Agent	Approved	07/28/2003
B	Colorado	Agent	Approved	08/06/2021
B	Connecticut	Agent	Approved	06/28/2003
B	Delaware	Agent	Approved	09/07/2012
B	Florida	Agent	Approved	06/04/1998
B	Georgia	Agent	Approved	01/29/1999
B	Hawaii	Agent	Approved	11/14/2024
B	Idaho	Agent	Approved	12/12/2024



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	07/09/2003
B Indiana	Agent	Approved	01/12/1999
B Iowa	Agent	Approved	02/17/2023
B Kansas	Agent	Approved	06/15/2011
B Kentucky	Agent	Approved	12/14/2022
B Maine	Agent	Approved	04/07/2023
B Maryland	Agent	Approved	07/23/2001
B Massachusetts	Agent	Approved	11/01/2024
B Michigan	Agent	Approved	11/04/1999
B Minnesota	Agent	Approved	06/07/2005
B Missouri	Agent	Approved	10/19/2022
B Nevada	Agent	Approved	06/14/2004
B New Hampshire	Agent	Approved	10/03/2025
B New Jersey	Agent	Approved	05/23/2025
B New Mexico	Agent	Approved	12/20/2022
B New York	Agent	Approved	11/08/2003
B North Carolina	Agent	Approved	07/17/2001
B Ohio	Agent	Approved	06/27/1996
IA Ohio	Investment Adviser Representative	Approved	09/18/1999



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	01/30/2025
B Pennsylvania	Agent	Approved	09/06/1996
IA Pennsylvania	Investment Adviser Representative	Approved	07/12/2024
B South Carolina	Agent	Approved	10/08/2013
B Tennessee	Agent	Approved	06/30/2003
B Texas	Agent	Approved	05/26/2000
IA Texas	Investment Adviser Representative	Restricted Approval	10/05/2006
B Utah	Agent	Approved	02/13/2024
B Virginia	Agent	Approved	09/12/2000
B Washington	Agent	Approved	02/09/2011
B West Virginia	Agent	Approved	12/20/2022
B Wisconsin	Agent	Approved	08/14/2009

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
 4137 Boardman Canfield Rd Ste 109
 Canfield, OH 44406

AMERIPRISE FINANCIAL SERVICES, LLC
 22901 MILL CREEK BLVD
 STE 375
 CLEVELAND, OH 44122

AMERIPRISE FINANCIAL SERVICES, LLC
 Canfield, OH

AMERIPRISE FINANCIAL SERVICES, LLC
 2100 GEORGETOWNE DR
 STE 202
 SEWICKLEY, PA 15143



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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	12/21/2000

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/02/1996
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/27/1995

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	08/29/1996

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	06/25/1996 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	06/28/1995 - 03/20/1996	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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	Canfield, OH, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Canfield, OH, 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; Farming property - 90 acres; 8783 Columbiana-Canfield Rd Canfield, Ohio 44406, ; Not Investment-Related; 01/01/2000 / Lot/Land; 8783 Columbiana-Canfield Rd., , Canfield, OH, 44406; Not Investment-Related; 04/11/2012.

Business Ownership; Avante Business Group, LLC; Owner of account; LLC; 4137 Boardman-Canfield Rd, , Canfield, OH, 44406; Not Investment-Related; 05/30/2021; 1 to 9 hours per month; 1 to 9 during trading hours / Rocking M Properties, LLC; manage any business needs; Set up to purchase property for rental; 6768 Covington Cove, , Canfield, OH, 44406; Not Investment-Related; 01/01/2000; 1 to 9 hours per month; 1 to 9 during trading hours / Terraform Properties, LLC; to run business; llc to purchase vacant land as investment opportunity; 6768 Covington Cove, , Canfield, OH, 44406; Investment-Related; 02/25/2022; 0 hours per month; 0 during trading hours / Continuum properties, LLC; to run the business; llc to purchase vacant land for investment opportunity; 6768 Covington Cove, , Canfield, OH, 44406; Investment-Related; 02/25/2022; 0 hours per month; 0 during trading hours / Matthews Cattle Company, LLC; manage cattle operations; the sole purpose of raising and selling cattle; 6768 Covington Cove, , Canfield, OH, 44406; Not Investment-Related; 01/01/2000; 10 to 19 hours per month; 1 to 9 during trading hours / Emacity Enterprise, LLC; TO RUN THE BUSINESS; Commercial Land; 6768 Covington Cove, , Canfield, OH, 44406; Investment-Related; 05/10/2015; 1 to 9 hours per month; 0 during trading hours / Visage Properties, LLC; to run the business; legal entity to purchase vacant land; 6768 Covington Cove, , Canfield, OH, 44406; Investment-Related; 02/25/2022; 0 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
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Criminal	1
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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:	COURT OF OKLAHOMA CITY N/A
Charge Date:	
Charge Details:	THEFT OF PROPERTY
Felony?	
Current Status:	Final
Status Date:	08/11/1988
Disposition Details:	SINCE IT WAS A PRANK AND I WAS YOUNG THERE WAS A ONE YEAR PROBATION PERIOD. THE CASE WAS DISMISSED AND THE RECORD OF NOT GUILTY WAS ENTERED INTO THE PLEA. THE CASE WAS PLACED IN JUDGES CHAMBERS UNTIL THE PROBATION PERIOD WAS COMPLETE AND THEN DESTROYED.
Broker Statement	IT WAS A FRATERNITY PRANK WHERE A LOT OF ITEMS WERE REMOVED FROM A GIRLS APARTMENT. THE GIRLS MOTHER WAS VERY UPSET AND FILED CHARGES. THE PROPERTY WAS RETURNED. THE JUDGE WAS VERY UNDERSTANDING AND AGREED THAT A CRIMINAL RECORD WOULD RUIN A CAREER. HE DECIDED TO PLACE ME ON PROBATION (1 YR) AND THEN HE WOULD DESTROY THE FILES AND RECORDS. MY FINGERPRINTS STILL EXIST WITH THE FBI. THERE IS NO OTHER RECORD NO COURT DOCUMENTS IT HAS ALL BEEN DESTROYED.



End of Report

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