



IAPD Report

MARY ELIZABETH BUSH

CRD# 2763866

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6

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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

MARY ELIZABETH BUSH (CRD# 2763866)

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 **02/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	02/13/2009
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/29/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	CHASE INVESTMENT SERVICES CORP.	25574	MILWAUKEE, WI	03/10/2008 - 02/19/2009
IA	CHASE INVESTMENT SERVICES CORP.	25574	MILWAUKEE, WI	03/10/2008 - 02/19/2009
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	BROOKFIELD, WI	06/04/1997 - 03/11/2008

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
Regulatory Event	4
Judgment/Lien	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 **14** 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	02/13/2009
B	Arizona	Agent	Approved	03/05/2009
B	California	Agent	Approved	10/26/2012
B	Florida	Agent	Approved	08/27/2015
B	Illinois	Agent	Approved	04/23/2009
B	Indiana	Agent	Approved	09/30/2022
B	Iowa	Agent	Approved	01/03/2020
B	Kansas	Agent	Approved	01/19/2022
B	Louisiana	Agent	Approved	01/23/2024
B	Minnesota	Agent	Approved	02/23/2015
B	North Dakota	Agent	Approved	04/14/2025
B	South Carolina	Agent	Approved	03/15/2024
B	Tennessee	Agent	Approved	12/21/2020



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	04/29/2009
IA Texas	Investment Adviser Representative	Approved	04/29/2009
B Wisconsin	Agent	Approved	02/13/2009
IA Wisconsin	Investment Adviser Representative	Approved	06/09/2009

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
1601 E. Racine Avenue
Suite 103
Waukesha, WI 53186

AMERIPRISE FINANCIAL SERVICES, LLC
Hartland, WI



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	06/02/1997
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/22/2008
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Uniform Securities Agent State Law Examination (S63)	Series 63	05/30/1997
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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	03/10/2008 - 02/19/2009	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	MILWAUKEE, WI
IA	03/10/2008 - 02/19/2009	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	MILWAUKEE, WI
B	06/04/1997 - 03/11/2008	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	BROOKFIELD, WI
IA	07/05/2007 - 10/09/2007	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	BROOKFIELD, WI
B	06/04/1997 - 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	Waukesha, WI, United States
02/2009 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Waukesha, WI, 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.

Business Ownership; B&B Lifeworx LLC; Member; Pass-through entity for practice business expenses; 1601 E Racine Ave , Ste 103, Waukesha, WI, 53186; Not Investment-Related; 08/15/2016; 20 to 39 hours per month; 20 to 39 during trading hours / MPB Group LLC; Member; Manage Ameriprise Business; 1601 E Racine Ave, STE 103, Waukesha, WI, 53186; Investment-Related; 10/20/2017; 0 hours per month; 0 during trading hours. Outside Employment; B&B Lifeworx; Member; Manage advisory business; 1601 E Racine Ave, STE 103, Waukesha, WI, 53186; Investment-Related; 08/15/2016; 20 to 39 hours per month; 60 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
Regulatory Event	4
Judgment/Lien	5

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	WISCONSIN OFFICE OF THE COMMISSIONER OF INSURANCE
Sanction(s) Sought:	Revocation
Date Initiated:	11/21/2006
Docket/Case Number:	06-C30576
Employing firm when activity occurred which led to the regulatory action:	AMERIPRISE FINANCIAL SERVICES, INC.
Product Type:	No Product
Allegations:	REPRESENTATIVE FAILED TO PAY DELINQUENT TAXES IN THE STATE OF WISCONSIN. WISCONSIN REVOKED HER RESIDENT INSURANCE LICENSE FROM 12/22/2006 THROUGH 01/17/2007.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/18/2007
Sanctions Ordered:	Revocation



Other: WISCONSIN RESIDENT INSURANCE LICENSE REVOKED 12/22/2006 THROUGH 01/17/2007.

Disclosure 2 of 4

Reporting Source: Individual

Regulatory Action Initiated By: WISCONSIN OFFICE OF THE COMMISSIONER OF INSURANCE

Sanction(s) Sought: Denial

Date Initiated: 04/28/2010

Docket/Case Number: 10-C32947

Employing firm when activity occurred which led to the regulatory action: AMERIPRISE FINANCIAL SERVICES, INC.

Product Type: No Product

Allegations: REPRESENTATIVE APPLIED FOR A PERMANENT INDIVIDUAL INTERMEDIARY AGENT'S INSURANCE LICENSE ON 03/30/2010. REPRESENTATIVE ANSWERED "NO" TO THE QUESTION ON THE APPLICATION REGARDING ADMINISTRATIVE ACTIONS TAKEN IN ANY STATE.

Current Status: Final

Resolution: DENIAL OF INTERMEDIARY AGENT'S INSURANCE LICENSE

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 05/29/2010

Sanctions Ordered: Denial

Disclosure 3 of 4

Reporting Source: Individual

Regulatory Action Initiated By: KANSAS COMMISSIONER OF INSURANCE

Sanction(s) Sought: Revocation

Date Initiated: 02/28/2007

Docket/Case Number: 3621-SO

Employing firm when activity occurred which led to the regulatory action: AMERIPRISE FINANCIAL SERVICES, INC.

Product Type: No Product

Allegations: COMMISSIONER CONCLUDES THAT REPRESENTATIVE'S KANSAS LICENSE



MAY BE REVOKED SOLELY BECAUSE REPRESENTATIVE HAS HAD AN AGENT'S LICENSE OR ITS EQUIVALENT REVOKED IN ANOTHER STATE. REPRESENTATIVE'S LICENSE IN HER HOME STATE OF WISCONSIN HAD BEEN REVOKED.

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 03/19/2007

Sanctions Ordered: Revocation

Disclosure 4 of 4

Reporting Source: Individual

Regulatory Action Initiated By: NEW YORK INSURANCE DEPARTMENT

Sanction(s) Sought: Other: STIPULATION

Date Initiated: 05/09/2007

Docket/Case Number: 2007-0391-S

Employing firm when activity occurred which led to the regulatory action: AMERIPRISE FINANCIAL SERVICES, INC.

Product Type: No Product

Allegations: REPRESENTATIVE ADMITTED TO THE NEW YORK INSURANCE DEPARTMENT THAT SHE VIOLATED SECTION 2110(I) OF THE INSURANCE LAW IN THAT SHE FAILED TO REPORT TO THE SUPERINTENDENT WITHIN 30 DAYS OF THE FINAL DISPOSITION OF THE MATTER THAT: (A) REPRESENTATIVE'S INSURANCE LICENSE WAS REVOKED BY THE STATE OF WISCONSIN ON OR ABOUT 12/27/2006 AND (B) REPRESENTATIVE'S KANSAS NON-RESIDENT INSURANCE LICENSE WAS REVOKED ON OR ABOUT 03/19/2007.

Current Status: Final

Resolution: STIPULATION

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 10/31/2007

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1



Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$500.00
Portion Levied against individual:	\$500.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	10/31/2007
Was any portion of penalty waived?	No
Amount Waived:	



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 5

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$88,521.12
Judgment/Lien Type: Tax
Date Filed with Court: 04/27/2022
Date Individual Learned: 04/28/2022
Type of Court: State Court
Name of Court: Waukesha County Register of Deeds
Location of Court: Waukesha County, WI
Docket/Case #: 4664746
Judgment/Lien Outstanding? Yes

Disclosure 2 of 5

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$49,667.48
Judgment/Lien Type: Tax
Date Filed with Court: 03/12/2019
Date Individual Learned: 04/04/2019
Type of Court: State Court
Name of Court: Register of Deeds
Location of Court: Waukesha County, WI
Docket/Case #: 4386613
Judgment/Lien Outstanding? Yes

Disclosure 3 of 5

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$32,238.98
Judgment/Lien Type: Tax
Date Filed with Court: 05/29/2018
Date Individual Learned: 08/08/2018
Type of Court: State Court
Name of Court: Register of Deeds



Location of Court: Waukesha, WI
Docket/Case #: SER# 309909218
Judgment/Lien Outstanding? Yes

Disclosure 4 of 5

Reporting Source: Individual
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$57,650.89
Judgment/Lien Type: Tax
Date Filed with Court: 03/29/2017
Date Individual Learned: 04/13/2017
Type of Court: State Court
Name of Court: REGISTER OF DEEDS
Location of Court: WAUKESHA COUNTY, WI
Docket/Case #: 253321617
Judgment/Lien Outstanding? Yes

Disclosure 5 of 5

Reporting Source: Individual
Judgment/Lien Holder: GREAT LAKES HIGHER EDUCATION GUARANTY CORP.
Judgment/Lien Amount: \$56,999.11
Judgment/Lien Type: Civil
Date Filed with Court: 05/31/2012
Type of Court: State Court
Name of Court: SUPERIOR COURT OF CALIFORNIA - COUNTY OF ALAMEDA
Location of Court: PLEASANTON, CA
Judgment/Lien Outstanding? Yes



End of Report

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