



## IAPD Report

### NICHOLAS TILDEN DREW

CRD# 2774394

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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

### NICHOLAS TILDEN DREW (CRD# 2774394)

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 **10/31/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MODERN CAPITAL ADVISORS, LLC	CRD# 131117	01/21/2022
B	MODERN CAPITAL SECURITIES INC.	CRD# 130876	12/03/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	130390	Tomball, TX	03/08/2012 - 10/31/2025
IA	MODERN CAPITAL ADVISORS, LLC	131117	Houston, TX	06/21/2012 - 12/31/2021
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	THE WOODLANDS, TX	06/23/1997 - 03/13/2012

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	1
Customer Dispute	3
Judgment/Lien	7



## 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 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **MODERN CAPITAL SECURITIES INC.**

Main Address: 7780 BRIER CREEK PARKWAY  
SUITE 325  
RALEIGH, NC 27617

Firm ID#: 130876

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	12/03/2025
 Louisiana	Agent	Approved	12/23/2025
 Pennsylvania	Agent	Approved	12/08/2025
 Texas	Agent	Approved	12/04/2025

#### Branch Office Locations

##### **WESTERN EQUITY GROUP, INC.**

11607 Spring Cypress Road, Suite B  
Tomball, TX 77377

#### Employment 2 of 2

Firm Name: **MODERN CAPITAL ADVISORS, LLC**

Main Address: 7780 BRIER CREEK PARKWAY  
SUITE 325  
RALEIGH, NC 27617

Firm ID#: 131117

Regulator	Registration	Status	Date
 Texas	Investment Adviser Representative	Approved	01/21/2022

#### Branch Office Locations

##### **MODERN CAPITAL ADVISORS, LLC**



## Qualifications

11607 Spring Cypress Road  
Suite B  
Tomball, TX 77377



## 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 1 state securities law exam.**

#### 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	04/16/1997

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/03/1997

### 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>B</b>	03/08/2012 - 10/31/2025	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	CRD# 130390	Tomball, TX
<b>IA</b>	06/21/2012 - 12/31/2021	MODERN CAPITAL ADVISORS, LLC	CRD# 131117	Houston, TX
<b>IA</b>	06/23/1997 - 03/13/2012	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	THE WOODLANDS, TX
<b>B</b>	04/18/1997 - 03/13/2012	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	THE WOODLANDS, TX
<b>B</b>	04/18/1997 - 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
06/2012 - Present	MODERN CAPITAL ADVISORS, LLC	IAR	Y	MOUNT PLEASANT, SC, United States
03/2012 - Present	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	MOUNT PLEASANT, SC, United States
06/1996 - Present	DJ'S UNLIMITED INC.	OTHER - OPERATIONS MNGR.	N	HOUSTON, TX, 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.

- 1.) Retro DJ To Go, LLC.; Non-investment-related; Address: 16315 Haden Crest Ct., Cypress, TX 77429; Nature of business: Disc Jockey services; Position: Co-Owner; Start date: 2006; Approximate number of hours/month devoted to the business: 1-9 hours per month; Number of hours devoted during securities trading hour: 0; Duties: DJ, play music at events.
- 2.) Lakes At Cypress Hill Home Owners Association: Non-investment-related; Address: 17910 Lake Cypress Hill Drive, Cypress TX 77429; Nature of business: Accounting); Position: Attorney-In-Fact; Start date: 2014; Approximate number of hours/month devoted to the business: 1-9 hours per month; Number of hours devoted during securities trading hour: 0; Duties: Loading expenses and deposits into QuickBooks.
- 3.) Vast Solutions Group; investment-related; Address: 6920 S. Cimarron Rd., Las Vegas, NV 89113; Nature of business: Tax and Financial Services firm; Position: Consultant; Start date: 01/01/2020; Approximate number of hours/month devoted to the business: 5 hours per month; Number of hours devoted during securities trading hour: 0; Duties: Consultant for fixed life insurance products. Provide life insurance consultation for customers of the entity.
- 4.) Churchill Wealth Advisors, Yes, 11607 Spring Cypress RD, Suite B, Tomball, Texas 77377. Financial Planning, Investment and



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

insurance. Owner. 11/01/2020, 40 Hours per month, 40 Hours per month, marketing, seeing clients, writing financial plans, recommending investments etc



## 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	1
Customer Dispute	3
Judgment/Lien	7

### 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 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	11/18/2013
<b>Docket/Case Number:</b>	<a href="#">2012031830601</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	AMERIPRISE FINANCIAL SERVICES, INC.
<b>Product Type:</b>	Other: CASH DISTRIBUTION FORMS
<b>Allegations:</b>	FINRA RULE 2010 - NICHOLAS DREW FALSIFIED CUSTOMERS' SIGNATURES ON CASH DISTRIBUTION FORMS THAT AUTHORIZED THE WITHDRAWAL OF FUNDS FROM JOINT BROKERAGE ACCOUNTS. WHILE THE CUSTOMERS APPROVED THE TRANSACTIONS, THEY DID NOT AUTHORIZE DREW TO AFFIX THEIR SIGNATURES TO THE CASH WITHDRAWAL FORMS. DREW'S MEMBER FIRM'S PROCEDURES STRICTLY PROHIBITED AFFIXING A CUSTOMER'S SIGNATURE ON ANY DOCUMENT.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

**Resolution Date:** 11/18/2013

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

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**



**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** ANY CAPACITY

**Duration:** 30 DAYS

**Start Date:** 12/16/2013

**End Date:** 01/14/2014

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$7,500.00

**Portion Levied against individual:** \$7,500.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 12/05/2014

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, DREW CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$7,500 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 DAYS. THE SUSPENSION IS IN EFFECT FROM DECEMBER 16, 2013 THROUGH JANUARY 14, 2014. FINE PAID IN FULL ON DECEMBER 5, 2014.

**Reporting Source:** Individual

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Suspension  
Other: MONETARY PENALTY OF \$7,500.00



<b>Date Initiated:</b>	11/18/2013
<b>Docket/Case Number:</b>	2012031830601
<b>Employing firm when activity occurred which led to the regulatory action:</b>	AMERIPRISE FINANCIAL SERVICES, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	BETWEEN JUNE 2010 AND DECEMBER 2010, DREW FALSIFIED THE SIGNATURES OF FOUR CUSTOMERS ON CASH DISTRIBUTION FORMS THAT AUTHORIZED THE WITHDRAWAL OF FUNDS FROM TWO JOINT BROKERAGE ACCOUNTS. WHILE THE CUSTOMERS APPROVED ALL OF THE TRANSACTIONS, THEY DID NOT AUTHORIZE HIM TO AFFIX THEIR SIGNATURES TO THE CASH DISTRIBUTION FORMS. AMERIPRISE'S PROCEDURES STRICTLY PROHIBIT AFFIXING A CUSTOMER'S SIGNATURE TO ANY DOCUMENT. BY FALSIFYING HIS CUSTOMERS SIGNATURES, DREW FAILED TO OBSERVE HIGH STANDARDS OF COMMERCIAL HONOR AND JUST AND EQUITABLE PRINCIPALS OF TRADE IN VIOLATION OF FINRA RULE 2010.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	11/18/2013
<b>Sanctions Ordered:</b>	Suspension Other: NICK DREW WILL PAY A MONETARY PENALTY OF \$7,500.00
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ALL CAPACITIES
<b>Duration:</b>	30 DAYS
<b>Start Date:</b>	12/16/2013
<b>End Date:</b>	01/14/2014
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Monetary Penalty other than Fines
<b>Total Amount:</b>	\$7,500.00
<b>Portion Levied against individual:</b>	\$0.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	Yes
<b>Date Paid by individual:</b>	11/18/2013
<b>Was any portion of penalty waived?</b>	No



**Amount Waived:**



## 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	AMERIPRISE FINANCIAL SERVICES, INC.
<b>Allegations:</b>	THE CLIENTS STATED THEY RECEIVED POOR ADVICE TO SURRENDER TWO RIVERSOURCE RETIREMENT ADVISOR 4 ADVANTAGE VARIABLE ANNUITIES ON JANUARY 2011 AND MAY 2011.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$9,331.64
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

## Customer Complaint Information

<b>Date Complaint Received:</b>	06/27/2012
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	09/20/2012
<b>Settlement Amount:</b>	\$19,137.64
<b>Individual Contribution Amount:</b>	\$0.00

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<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	AMERIPRISE FINANCIAL SERVICES, INC.
<b>Allegations:</b>	THE CLIENTS STATED THEY RECEIVED POOR ADVICE TO SURRENDER TWO RIVERSOURCE RETIREMENT ADVISOR 4 ADVANTAGE VARIABLE ANNUITIES ON JANUARY 2011 AND MAY 2011.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$9,331.64
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes



**Is this an arbitration/CFTC reparation or civil litigation?**

No

### Customer Complaint Information

**Date Complaint Received:** 06/27/2012

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 09/20/2012

**Settlement Amount:** \$19,137.64

**Individual Contribution Amount:** \$0.00

### Disclosure 2 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** AMERIPRISE FINANCIAL SERVICES, INC.

**Allegations:** THE CLIENT ALLEGED THE SIGNATURES TO EFFECT TRANSACTIONS ON MARCH 2010 WITH HIS RIVERSOURCE RAVA 4 AND RIVERSOURCE VUL IV WERE DONE WITH RECYCLED SIGNATURES.

**Product Type:** Annuity-Variable Insurance

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** THE CLIENT STATED HE HAD APPROVED THE TRANSACTIONS.

**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:** 03/02/2012

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/18/2012

**Settlement Amount:**

**Individual Contribution Amount:**

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** AMERIPRISE FINANCIAL SERVICES, INC.



<b>Allegations:</b>	THE CLIENT ALLEGED THE SIGNATURES TO EFFECT TRANSACTIONS ON MARCH 2010 WITH HIS RIVERSOURCE RAVA 4 AND RIVERSOURCE VUL IV WERE DONE WITH RECYCLED SIGNATURES.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	THE CLIENT STATED HE HAD APPROVED THE TRANSACTIONS.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

**Date Complaint Received:** 03/03/2012

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/18/2012

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 3 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** AMERIPRISE FINANCIAL SERVICES, INC.

**Allegations:** THE CLIENTS STATED THAT ALTHOUGH THE SIGNATURES WERE THEIRS', THEY DID NOT SIGN THE CASH DISTRIBUTION FORMS SIGNED IN OCTOBER 2009, MARCH 2010, MAY 2010, JUNE 2010, JULY 2010 AND NOVEMBER 2010.

**Product Type:** Annuity-Variable  
Other: SPS

**Alleged Damages:** \$22,030.00

**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:** 02/11/2012

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/05/2012



**Settlement Amount:** \$6,350.25

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** AMERIPRISE FINANCIAL SERVICES, INC.

**Allegations:** THE CLIENTS STATED THAT ALTHOUGH THE SIGNATURES WERE THEIRS, THEY DID NOT SIGN THE CASH DISTRIBUTION FORMS SIGNED IN OCTOBER 2009, MARCH 2010, JUNE 2010, JULY 2010, AND NOVEMBER 2010.

**Product Type:** Annuity-Variable  
Other: SPS

**Alleged Damages:** \$22,030.00

**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:** 02/22/2012

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/05/2012

**Settlement Amount:** \$6,350.25

**Individual Contribution Amount:** \$0.00



## Judgment/Lien

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

### Disclosure 1 of 7

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$42,426.81  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 02/04/2020  
**Date Individual Learned:** 02/08/2020  
**Type of Court:** County  
**Name of Court:** Harris County Court  
**Location of Court:** Houston, Tx  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement**  
We are in the process of adding these to our existing payment plan that we are ammending with IRS and attorney.  
Objective is to have them paid off

### Disclosure 2 of 7

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$49,675.06  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 02/04/2020  
**Date Individual Learned:** 02/08/2020  
**Type of Court:** County  
**Name of Court:** Harris County Court  
**Location of Court:** Houston, Tx  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement**  
We are in the process of adding these to our existing payment plan that we are ammending with IRS and attorney.  
Objective is to have them paid off

### Disclosure 3 of 7

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$58,548.44  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 02/04/2020  
**Date Individual Learned:** 02/08/2020



<b>Type of Court:</b>	County
<b>Name of Court:</b>	Harris County Court
<b>Location of Court:</b>	Houston, Tx
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	We are in the process of adding these to our existing payment plan that we are ammending with IRS and attorney. Objective is to have them paid off

#### Disclosure 4 of 7

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$57,925.00
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	03/24/2015
<b>Date Individual Learned:</b>	08/18/2016
<b>Type of Court:</b>	County Clerk
<b>Name of Court:</b>	Harris County Clerk
<b>Location of Court:</b>	Houston, Texas
<b>Docket/Case #:</b>	20150116754
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	Currently in process of waiting for IRS to process corrected amounts of the debts owed as they are incorrect according to recently filed amended tax returns. Rep was misadvised to remove horse business related expenses from personal return causing large debts. During the correction process the IRS has apparently set up liens for each year. Attorney had advised to wait until the amounts were corrected prior to reporting to FINRA.

#### Disclosure 5 of 7

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$76,775.00
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	11/25/2014
<b>Date Individual Learned:</b>	08/18/2016
<b>Type of Court:</b>	County Clerk
<b>Name of Court:</b>	Harris County Clerk
<b>Location of Court:</b>	Houston, Texas
<b>Docket/Case #:</b>	20140528883
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	Currently in process of waiting for IRS to process corrected amounts of the debts



owed as they are incorrect according to recently filed amended tax returns. Rep was misadvised to remove horse business related expenses from personal return causing large debts. During the correction process the IRS has apparently set up liens for each year. Attorney had advised to wait until the amounts were corrected prior to reporting to FINRA.

#### Disclosure 6 of 7

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$82,270.34  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 01/27/2015  
**Date Individual Learned:** 08/18/2016  
**Type of Court:** County Clerk  
**Name of Court:** Harris County Clerk  
**Location of Court:** Houston, Texas  
**Docket/Case #:** 20150033887  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement**  
Currently in process of waiting for IRS to process corrected amounts of the debts owed as they are incorrect according to recently filed amended tax returns. Rep was misadvised to remove horse business related expenses from personal return causing large debts. During the correction process the IRS has apparently set up liens for each year. Attorney had advised to wait until the amounts were corrected prior to reporting to FINRA.

#### Disclosure 7 of 7

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$25,000.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 06/24/2014  
**Date Individual Learned:** 06/21/2014  
**Type of Court:** COUNTY COURT  
**Name of Court:** HARRIS COUNTY COURT  
**Location of Court:** HARRIS, TX  
**Docket/Case #:** 272714  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement**  
THE REP WAS NOTIFIED OF THE LIEN ON 06/21/2014 HOWEVER IT HAS NOT BEEN FILED WITH THE COURTS BECAUSE THEY ARE WAITING ON UPDATED TAX RETURNS TO FILE WITH THE CORRECT AMOUNT. REP JUST WANTED TO GET THIS STARTED SO ONCE THEY FILE WE CAN UPDATE AND YOU WILL HAVE ALREADY BEEN AWARE!



REP MADE A PAYMENT ON THIS BRINGING THE BALANCE DOWN TO \$25,000  
HE IS CURRENTLY WORKING ON A PAYMENT PLAN WITH THE IRS TO PAY  
OFF THE REMAINING BALANCE AS OF 6/4/2015



## End of Report

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