



IAPD Report

BRAD AARON SWARTZWELDER

CRD# 2811267

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7



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

BRAD AARON SWARTZWELDER (CRD# 2811267)

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 **02/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	12/23/1996
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	02/06/1997

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **35** 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	12/23/1996 - 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



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 **35** 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	12/23/1996
B	FINRA	General Securities Principal	Approved	06/11/2002
B	Alabama	Agent	Approved	07/20/2022
B	Arizona	Agent	Approved	03/18/2010
B	Arkansas	Agent	Approved	01/06/2011
B	California	Agent	Approved	10/27/2010
B	Colorado	Agent	Approved	11/24/2014
B	Connecticut	Agent	Approved	01/06/2011
B	District of Columbia	Agent	Approved	07/10/2025
B	Florida	Agent	Approved	08/01/2002
B	Georgia	Agent	Approved	06/16/2014
B	Hawaii	Agent	Approved	07/07/2016
B	Illinois	Agent	Approved	10/21/2020



Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	07/06/2010
B	Iowa	Agent	Approved	08/28/2023
B	Louisiana	Agent	Approved	01/27/2025
B	Maryland	Agent	Approved	07/06/2010
B	Massachusetts	Agent	Approved	06/22/2022
B	Michigan	Agent	Approved	03/09/2006
B	Missouri	Agent	Approved	03/05/2010
B	Montana	Agent	Approved	04/14/2021
B	Nebraska	Agent	Approved	01/12/2015
B	New Hampshire	Agent	Approved	01/07/2011
B	New Jersey	Agent	Approved	05/29/2018
B	New York	Agent	Approved	03/21/2006
B	North Carolina	Agent	Approved	03/11/2010
B	Ohio	Agent	Approved	03/08/2000
B	Pennsylvania	Agent	Approved	09/09/2022
B	Rhode Island	Agent	Approved	01/12/2004
B	South Carolina	Agent	Approved	01/04/2007
B	Tennessee	Agent	Approved	05/24/2018
B	Texas	Agent	Approved	03/08/2010



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	03/08/2010
B Utah	Agent	Approved	08/23/2022
B Virginia	Agent	Approved	01/29/1997
IA Virginia	Investment Adviser Representative	Approved	02/06/1997
B Washington	Agent	Approved	03/03/2010
B West Virginia	Agent	Approved	03/22/2021
B Wyoming	Agent	Approved	12/09/2022

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
14350 SOMMERVILLE CT
MIDLOTHIAN, VA 23113

AMERIPRISE FINANCIAL SERVICES, LLC
Midlothian, VA



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	06/10/2002

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	12/20/1996

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	01/27/1997
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	12/23/1996 - 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	Midlothian, VA, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Midlothian, VA, 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; Commercial; 14350 Sommerville Ct., , ; 07/06/2005 / Single Family; 143 Mallard Ct., , Duck, NC, 27949; Not Investment-Related; 08/09/2024. Business Ownership; Sommerville Financial Planning; ; Payroll/HR functions; 14350 Sommerville Ct. Midlothian, VA 23113, , ; 06/01/2006; 1 to 9 hours per month; / Brad Swartzwelder Inc.; ; S-Corp to run my payroll for practice and staff.; 14350 Sommerville Ct. Midlothian, VA 23113, , ; 11/14/2009; 40 to 59 hours per month; / BRSW Properties; ; Used to own the real estate associated with running financial planning practice.; 14350 Sommerville Ct. Midlothian, VA 23113, , ; 07/06/2005; 1 to 9 hours per month; / Sommerville Partners; ; Marketing/Advertising; 14350 Sommerville Ct., , ; 06/01/2005; 1 to 9 hours per month; 0 during trading hours. Outside Employment; Brad Swartzwelder Inc; President -; ; 14350 Sommerville Ct Midlothian, VA 23113, , ; 11/14/2009; 40 to 59 hours per month; .



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
----------	---

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:	HENRICO GENERAL DISTRICT COURT.RICHARD VA G099908
Charge Date:	09/12/1992
Charge Details:	1. 1 COUNT 2. MISDAMEANOR 3. GUILTY 4. N/A
	GRAND THEFT AUTO
Felony?	Yes
Current Status:	Final
Status Date:	11/10/1992
Disposition Details:	A. CONVICTED ON MISDEMANOR CHARGE B. 11/10/1992 C. 30 DAYS SUSPENDED JAIL AND COMMJNITY SERVICE D. 30 DAY SUSPENDED E. 11/10/1992 F. \$46 FINE G. 11/10/1992 PAID

THE ALLEGATIONS AGAINST ME WERE FOR THE CHARGE OF GRAND THEFT AUTO. THE CHARGE WAS CHANGED TO A CONVICTION OF A MISDEMEANOR FOR VANDALISM. I WAS ORDERED TO DO 100 HOURS OF COMMUNITY SERVICE AND PAY A \$400 FINE FOR THE OWNER OF THE VEHICLE TO FIX A MIRROR AND SEAT THAT WAS CLAIMED TO BE DAMAGED. I WAS ALSO GIVEN A 30 DAY SUSPENDED SENTENCE. THE REASON THIS WAS NOT REPORTED ON MY INITIAL DRP WAS THAT MY LAWYER TOLD ME THAT THIS WOULD BE ERASED FROM MY RECORD IN 3



YEARS.

Broker Statement

THIS EVENT TOOK PLACE MY SOPHOMORE YEAR IN COLLEGE. WE HAD ALL BEEN DRINKING AT A PARTY. WHEN WE FOUND OUT THAT THERE WAS A JEEP OUTSIDE OF THE APARTMENT WHICH COULD BE STARTED WITHOUT A KEY, MY ROOMMATE SUGGESTED E BORROW THE VEHICLE TO DRIVE BACK TO OUR DORM ROOM ACROSS CAMPUS, AND WE ALL JOINED IN. THIS EVENT IN MY PAST CONTIUES TO BOTHER ME TODAY. EVEN 5 YEARS AFTER THE INCIDENT I AM TROUBLED BY THE POOR DECISION AND GOING AGAINST BY BETTER JUDGEMENT. WE OBVIOUSLY HAD NO INTENTION OF EVER KEEPING THE JEEP BUT OUR TWO MINUTE RIDE ACROSS CAMPUS ENDED UP BEING COSTLY ONE INDEED. IT IS MY BELIEF THAT SINCE WE HAD NO INTENT TO KEEP THE VEHICLE AND ALL OF US WERE FIRST TIME OFFENDERS THAT THE JUDGE DEEMED IN APPORPRIATE TO DROP THE CHARGE DOWN TO A MISDEMEANOR CHARGE OF VANDALISM, GIVE US 100 HOURS OF COMMUNITY SERVICE AND HAVE US PAY A FINE TO THE OWNER OF THE JEEP. MY LAWYER HAD INFORMED ME THAT THE CHARGE WOULD BE COMPLETELY ERASED FROM MY RECORD IN 3 YEARS SO I DIDN'T THINK I HAD TO DISCLOSE THE INFORMATION IN SECTION 22B OR THE DISCLOSURE REPORTING PAGE.



End of Report

This page is intentionally left blank.