



IAPD Report

GREGORY A SCHULTZE

CRD# 2868352

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Information	9



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

GREGORY A SCHULTZE (CRD# 2868352)

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 **05/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/11/2008
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/14/2008

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **43** 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	LPL FINANCIAL LLC	6413	OAKBROOK TERRACE, IL	01/30/2024 - 03/06/2024
IA	LPL FINANCIAL LLC	6413	OAKBROOK TERRACE, IL	01/30/2024 - 03/06/2024
IA	CHASE INVESTMENT SERVICES CORP.	25574	CHICAGO, IL	05/11/2006 - 07/01/2008

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
Customer Dispute	2



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 **43** 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	07/11/2008
B	Alabama	Agent	Approved	10/15/2015
B	Arizona	Agent	Approved	11/05/2013
B	Arkansas	Agent	Approved	09/13/2017
B	California	Agent	Approved	07/13/2015
B	Colorado	Agent	Approved	10/01/2009
B	Connecticut	Agent	Approved	01/31/2025
B	District of Columbia	Agent	Approved	10/23/2018
B	Florida	Agent	Approved	07/24/2008
B	Georgia	Agent	Approved	07/25/2008
IA	Georgia	Investment Adviser Representative	Approved	03/28/2019
B	Hawaii	Agent	Approved	08/10/2010
B	Illinois	Agent	Approved	07/11/2008



Qualifications

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	07/14/2008
B Indiana	Agent	Approved	07/29/2008
B Iowa	Agent	Approved	02/29/2016
B Kentucky	Agent	Approved	12/05/2019
B Louisiana	Agent	Approved	12/03/2019
B Maryland	Agent	Approved	08/06/2018
B Massachusetts	Agent	Approved	02/18/2021
B Michigan	Agent	Approved	07/30/2008
B Minnesota	Agent	Approved	01/04/2019
B Mississippi	Agent	Approved	08/03/2018
B Missouri	Agent	Approved	12/03/2019
B Montana	Agent	Approved	05/07/2026
B Nevada	Agent	Approved	03/14/2016
B New Jersey	Agent	Approved	08/01/2018
B New Mexico	Agent	Approved	12/03/2019
B New York	Agent	Approved	02/29/2016
B North Carolina	Agent	Approved	03/01/2016
B Ohio	Agent	Approved	12/03/2019
B Oklahoma	Agent	Approved	02/01/2016



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	12/04/2019
B Pennsylvania	Agent	Approved	02/29/2016
B Rhode Island	Agent	Approved	04/15/2026
B South Carolina	Agent	Approved	03/02/2016
B South Dakota	Agent	Approved	08/29/2013
B Tennessee	Agent	Approved	12/03/2019
B Texas	Agent	Approved	06/18/2012
IA Texas	Investment Adviser Representative	Restricted Approval	05/30/2012
B Utah	Agent	Approved	12/03/2019
B Vermont	Agent	Approved	04/16/2026
B Virginia	Agent	Approved	05/29/2026
B Washington	Agent	Approved	12/02/2019
B West Virginia	Agent	Approved	10/17/2024
B Wisconsin	Agent	Approved	07/23/2008
B Wyoming	Agent	Approved	01/08/2025

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
1 Tower Ln Ste 2160
Oakbrook Terrace, IL 60181

AMERIPRISE FINANCIAL SERVICES, LLC
Chicago, IL






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 - General Module Examination (S10)	Series 10	03/21/2003
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/16/2002
 General Securities Principal Examination (S24)	Series 24	12/08/2000

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	04/22/1997

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/24/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/23/1997

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	01/30/2024 - 03/06/2024	LPL FINANCIAL LLC	CRD# 6413	OAKBROOK TERRACE,
IA	01/30/2024 - 03/06/2024	LPL FINANCIAL LLC	CRD# 6413	OAKBROOK TERRACE,
IA	05/11/2006 - 07/01/2008	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL
B	05/10/2006 - 07/01/2008	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL
IA	12/04/1997 - 05/16/2006	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MADISON, WI
B	04/23/1997 - 05/16/2006	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MADISON, WI
B	04/23/1997 - 05/16/2006	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	Oakbrook, IL, United States
07/2008 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Oakbrook, IL, 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; Lot/Land; 634 rodney cutoff , , calico rock, AR, 72519; Investment-Related; 04/01/2024. Business Ownership; The Schultze Group; it is the Ameriprise practice to pay myself and staff.; I use it to run payroll my accountant recommended to do it; 1 oakbrook terrace suite 700oakbrook terrace il 6081, , ; Not Investment-Related; 02/14/2018; 1 to 9 hours per month; 1 to 9 during trading hours / Data House Ventures, LLC; Owner; Intel Smart Edge is a combination software and chip components. that take randomized, anonymous data and package it for sale to data brokers; 30 N Gould St #40922, , Sheridan, WY, 82801; Not Investment-Related; 02/20/2024; 0 hours per month; 0 during trading hours / Jordan Marina LLC; Co-owner; Boat marina in Arkansas. It has 266 boats slips that get rented for the year a long with a store that sells clothes, shoes, and snacks.; 3291 Jordan Landing Rd, , calico rock , AR, 72519; Not Investment-Related; 05/08/2024; 1 to 9 hours per month; 0 during trading hours / Oakbrook Cornerstone LLC; Co-owner; Manage Ameriprise Business; 1 tower lane, suite 2160, oakbrook terrace, IL, 60181; Investment-Related; 08/12/2024; 1 to 9 hours per month; 0 during trading hours / Schultze Real Estate Group LLC; Co-



Registration & Employment History



OTHER BUSINESS ACTIVITIES

owner; Real Estate; 634 rodney cutoff, , calico rock, AR, 72519; Investment-Related; 01/01/2020; 1 to 9 hours per month; 0 during trading hours / Arkansas Farm House; Co-owner; Real Estate; 744 rodney cutoff, , jordan, AR, 72519; Investment-Related; 01/14/2026; 1 to 9 hours per month; 0 during trading hours / Arkansas Construction Equipment; Co-owner; Buying a Skytrak telehandler to rent to construction workers.; 127 Eagle Feather Ct, , calico rock, AR, 72519; Not Investment-Related; 01/14/2026; 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
Customer Dispute	2

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 2

Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGES HIS ADVISOR MADE UNSUITABLE INVESTMENT RECOMMENDATION IN AUGUST OF 2000, RESULTING IN MARKET LOSS OF \$85000.00 IN HIS VARIABLE ANNUITY. CLAIMANT FURTHER ALLEGES CLAIMS OF NEGLIGENCE, MISREPRESENTATION, FRAUD, BREACH OF CONTRACT AND FIDUCIARY DUTY, AGAINST RESPONDENTS.

Product Type: Mutual Fund(s)

Other Product Type(s): ANNUITY CONTRACT

Alleged Damages: \$85,000.00

Customer Complaint Information

Date Complaint Received: 09/02/2003

Complaint Pending? No

Status: Settled

Status Date: 08/10/2003

Settlement Amount: \$46,920.00

Individual Contribution Amount: \$0.00

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR #03-05906

Date Notice/Process Served: 08/29/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/24/2004

Monetary Compensation Amount: \$46,920.00

Individual Contribution Amount: \$0.00

Broker Statement IN ORDER TO AVOID COSTS ASSOCIATED WITH ARBITRATION, AEFA SETTLED AND PAID [CUSTOMER] \$46,920.00. SCHULTZE DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. SHULTZE DOES NOT AGREE TO ANY WRONGDOING IN THIS MATTER. [CUSTOMER] IN TURN RELEASED AEFA AND SCHULTZE FROM THIS ARBITRATION.

Disclosure 2 of 2

Reporting Source: Individual

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

Allegations: THE CLIENTS ALLEGED THAT I DID NOT EXPLAIN THE DIFFERENCE BETWEEN A FUNDS AND B FUNDS, AND THAT I DID NOT PROVIDE ADEQUATE GUIDANCE AS THE MARKET DECLINED.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 10/02/2002

Complaint Pending? No

Status: Denied

Status Date: 12/23/2002

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement IT WAS FOUND THAT THE LEVEL OF SERVICE THAT I PROVIDED TO MY CLIENTS WAS MORE THAN ADEQUATE AND THAT THE INVESTMENT ADVICE I OFFERED WAS SUITABLE FOR THEM.



End of Report

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