User Guidance

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IAPD Report

JAMES JUNGTAEK PARK

CRD# 2871295

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

JAMES JUNGTAEK PARK (CRD# 2871295)

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 **04/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	03/01/1999
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	05/13/1999

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	03/01/1999 - 07/03/2006
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	06/12/1997 - 08/07/1998

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	1
Termination	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 **34** 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	03/01/1999
B	FINRA	General Securities Principal	Approved	08/24/2007
B	FINRA	General Securities Sales Supervisor	Approved	12/03/2007
B	Arizona	Agent	Approved	07/07/2016
B	Arkansas	Agent	Approved	01/21/2022
B	California	Agent	Approved	03/01/1999
IA	California	Investment Adviser Representative	Approved	05/13/1999
B	Colorado	Agent	Approved	06/30/2016
B	Connecticut	Agent	Approved	05/30/2018
B	District of Columbia	Agent	Approved	06/23/2021
B	Florida	Agent	Approved	12/21/2016
B	Georgia	Agent	Approved	07/01/2016
B	Hawaii	Agent	Approved	09/13/2016

Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	06/29/2016
B	Illinois	Agent	Approved	06/22/2021
B	Indiana	Agent	Approved	04/12/2024
B	Kansas	Agent	Approved	07/19/2016
B	Maine	Agent	Approved	06/09/2021
B	Massachusetts	Agent	Approved	06/29/2016
B	Michigan	Agent	Approved	01/04/2021
B	Minnesota	Agent	Approved	07/07/2016
B	Missouri	Agent	Approved	06/29/2016
B	Montana	Agent	Approved	02/16/2022
B	Nevada	Agent	Approved	06/15/2018
B	New Jersey	Agent	Approved	06/16/2021
B	New Mexico	Agent	Approved	06/29/2016
B	New York	Agent	Approved	09/15/2023
B	North Carolina	Agent	Approved	06/02/2017
B	Ohio	Agent	Approved	06/29/2016
B	Oklahoma	Agent	Approved	04/15/2026
B	Oregon	Agent	Approved	06/29/2016
B	Pennsylvania	Agent	Approved	10/18/2019

Qualifications

	Regulator	Registration	Status	Date
B	Rhode Island	Agent	Approved	06/04/2018
B	Texas	Agent	Approved	03/13/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	03/12/2009
B	Utah	Agent	Approved	06/29/2016
B	Virginia	Agent	Approved	06/29/2016
B	Washington	Agent	Approved	06/29/2016
B	Wisconsin	Agent	Approved	12/14/2018

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
225 W Santa Clara St Ste 1600
San Jose, CA 95113-1723

AMERIPRISE FINANCIAL SERVICES, LLC
1 Lower Ragsdale Dr
Bldg 1 Ste 100
Monterey, CA 93940

AMERIPRISE FINANCIAL SERVICES, LLC
San Jose, CA

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
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	12/01/2007
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	10/30/2007
B	General Securities Principal Examination (S24)	Series 24	08/23/2007

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	06/11/1997

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/21/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/30/1997

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	03/01/1999 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	06/12/1997 - 08/07/1998	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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	San Jose, CA, United States
02/1999 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Campbell, CA, 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.

No information reported.

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*.
    - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - o 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*.
    - o 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.
    - o 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.
    - o 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	1
Termination	1

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 1

Reporting Source: Individual

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

Allegations: THE CLIENT ALLEGED THE VARIABLE UNIVERSAL LIFE INSURANCE POLICY WAS NO LONGER SUITABLE AND REQUESTED TO HAVE THE SURRENDER CHARGES WAIVED.

Product Type: Other

Other Product Type(s): VARIABLE UNIVERSAL LIFE INSURANCE

Alleged Damages: $25,580.00

Customer Complaint Information

Date Complaint Received: 07/25/2003

Complaint Pending? No

Status: Denied

Status Date: 09/05/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM FOUND THE VARIABLE UNIVERSAL LIFE POLICY WAS SUITABLE AT THE TIME OF THE SALE BASED UPON THE INFORMATION THE CLIENT PROVIDED TO THE ADVISOR. FURTHER, WE FOUND THE CLIENT RECEIVED

VERBAL AND WRITTEN DISCLOSURE OF THE POLICY'S SURRENDER SCHEDULE.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Termination Type:	Discharged
Termination Date:	07/08/1998
Allegations:	NA I WAS DISCHARGED AFTER ADMITTING I SENT CORRESPONDENCE TO A CLIENT WITHOUT PRIOR APPROVAL OF MANAGEMENT. THIS WAS AGAINST FIRM POLICY.
Product Type:	
Other Product Types:	
Broker Statement	IN JUNE 1998 I MAILED A LETTER TO A CLIENT. I SUBMITTED THE LETTER TO MY MANAGER FOR HIS APPROVAL BUT IT TOOK HIM SEVERAL DAYS TO RETURN THE LETTER TO ME. THE CLIENT WAS UPSET AND WANTED THE LETTER RIGHT AWAY. I DID NOT WANT TO LOSE THE CLIENTS ACCOUNTS' SO I MAILED THE LETTER WITHOUT MY MANAGERS APPROVAL. THE MANAGER DECIDED TO DISCHARGE ME ON JULY 8, 1998 DUE TO NON COMPLIANCE WITH A FIRM POLICY. I HAD AN ANGRY CLIENT, BECAUSE MY ASSISTANT AND I MISTAKENLY COMPLETED HIS RETIREMENT TRANSFER FORM WITH HIS JOINT ACCOUNT INFORMATION. THE CLIENT DEMANDED A LETTER OF EXLANATION; AND MY ASSISTANT TYPED UP THE LETTER. I, THEN, SUMBITTED THE LETTER TO MY MANAGER FOR HIS APPROVAL. THE LETTER WAS NOT RETURNED TO ME FORM MY MANAGER UNTIL SEVERAL DAYS HAD PASSED. THE DAY AFTER THE CLIENT REQUESTED A LETTER, HE CALLED, UPSET BY THE FACT THAT HE DID NOT RECEIVED A LETTER. HE TOLD ME THAT IF I FAILED TO MEET HIS DEMAND, HE WOULD CLOSE OUT HIS ACCOUNTS. TYRING TO SAVE HIS ACCOUNTS I MADE A BAD JUDGEMENT AND MAILED THE LETTER KNOWING I MADE A BAD DECISION, I TOLD MY MANAGER, I MAILED THE LETTER TO MY CLIENT WITHOUT A MANAGER'S APPROVAL. THE MANAGER THEN DECIDED TO ME DUE TO "NON COMPLIANCE WITH A FIRM POLICY."

End of Report

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