



IAPD Report

JACOB DANIEL DUNLAP

CRD# 2898330

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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

JACOB DANIEL DUNLAP (CRD# 2898330)

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 **02/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/10/1997
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/11/1997

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **41** 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	AMERIPRISE ADVISOR SERVICES, INC.	5979	DETROIT, MI	04/14/2009 - 10/14/2009
IA	AMERIPRISE ADVISOR SERVICES, INC.	5979	DETROIT, MI	04/14/2009 - 10/14/2009
B	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	07/10/1997 - 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
Regulatory Event	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 **41** 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	07/10/1997
B	FINRA	General Securities Principal	Approved	10/08/2003
B	FINRA	Municipal Fund	Approved	03/07/2005
B	FINRA	General Securities Sales Supervisor	Approved	12/13/2006
B	Alabama	Agent	Approved	10/27/2021
B	Arizona	Agent	Approved	12/09/2021
B	California	Agent	Approved	10/27/2021
B	Colorado	Agent	Approved	11/08/2017
IA	Colorado	Investment Adviser Representative	Approved	11/08/2017
B	Connecticut	Agent	Approved	10/27/2021
B	Delaware	Agent	Approved	12/15/2021
B	District of Columbia	Agent	Approved	04/20/2022
B	Florida	Agent	Approved	10/27/2021



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	11/08/2021
B Hawaii	Agent	Approved	11/15/2021
B Idaho	Agent	Approved	11/19/2021
B Illinois	Agent	Approved	12/17/2021
B Indiana	Agent	Approved	11/16/2021
B Iowa	Agent	Approved	11/01/2021
B Louisiana	Agent	Approved	10/27/2021
B Maine	Agent	Approved	10/28/2021
B Maryland	Agent	Approved	10/27/2021
B Massachusetts	Agent	Approved	12/01/2021
B Michigan	Agent	Approved	10/28/2021
B Minnesota	Agent	Approved	10/27/2021
B Mississippi	Agent	Approved	10/27/2021
B Nebraska	Agent	Approved	10/28/2021
B Nevada	Agent	Approved	11/02/2021
B New Hampshire	Agent	Approved	11/17/2021
B New Jersey	Agent	Approved	10/27/2021
B New Mexico	Agent	Approved	10/27/2021
B New York	Agent	Approved	10/05/2021



Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	08/29/2022
B North Carolina	Agent	Approved	10/27/2021
B Ohio	Agent	Approved	10/26/2021
B Oklahoma	Agent	Approved	11/02/2021
B Oregon	Agent	Approved	11/02/2021
B Pennsylvania	Agent	Approved	10/28/2021
B Rhode Island	Agent	Approved	11/03/2021
B South Carolina	Agent	Approved	10/27/2021
B Tennessee	Agent	Approved	11/19/2021
B Texas	Agent	Approved	10/27/2021
IA Texas	Investment Adviser Representative	Restricted Approval	10/27/2021
B Utah	Agent	Approved	11/18/2021
B Vermont	Agent	Approved	12/07/2021
B Virginia	Agent	Approved	10/27/2021
B Washington	Agent	Approved	10/26/2021
B West Virginia	Agent	Approved	10/28/2021

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
25 MAIN ST
STE 3-2
GOSHEN, NY 10924-2144



Qualifications

AMERIPRISE FINANCIAL SERVICES, LLC
Castle Rock, CO







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 4 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	12/12/2006
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/26/2006
 Municipal Fund Securities Principal Examination (S51)	Series 51	03/05/2005
 General Securities Principal Examination (S24)	Series 24	10/07/2003

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/02/1997

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/27/2022
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/07/1997

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	04/14/2009 - 10/14/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	DETROIT, MI
IA	04/14/2009 - 10/14/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	DETROIT, MI
B	07/10/1997 - 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	Goshen, NY, United States
05/1997 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Hurst, 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.

Business Ownership; D&M Ranch, LLC; ; It is a farm and ranch. The income would be from cattle and whaet farming.; 24176 Hwy 283 Vernon, TX 76384, , ; ; 09/10/2012; 1 to 9 hours per month; / Certainty of Uncertainty, LLC; Act as general partner for the business, providing strategic leadership for both organic and inorganic growth.; This is a holding company.; 1174 Veterans Memorial Highway, , Hauppauge, NY, 11788; Investment-Related; 12/27/2021; 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
Regulatory Event	1

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

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 12/29/2015

Docket/Case Number: [2012033291203](#)

Employing firm when activity occurred which led to the regulatory action: Ameriprise Financial Services, Inc.

Product Type: Other: Private securities preferred shares

Allegations: Without admitting or denying the findings, Dunlap consented to the sanctions and to the entry of findings that he did not investigate various red flags evidencing that a representative, as the member firm's branch manager, was not reasonably supervising the activities of another registered representative and was failing to enforce applicable firm written policies and procedures. The findings stated that Dunlap failed to reasonably supervise the branch manager's performance of his responsibilities as a branch manager, as well as the branch manager's disclosure of his personal investment in a biopharmaceutical company. Despite having been presented with certain red flags associated with the registered representative's activities, Dunlap never inquired as to whether the branch manager ensured that this registered representative was participating in private securities transactions in a manner that complied with the applicable rule, as well as the firm's written policies and procedures. Moreover, Dunlap did not take any steps to ensure that the branch manager provided the firm with prior written notice of the branch manager's personal private securities investment. Explicitly, the registered representative under the branch manager's direct supervision participated in the sale of approximately \$1.72 million of preferred shares issued by the



biopharmaceutical company to customers and the firm's registered representatives, including both Dunlap and the branch manager. The registered representative participated in these transactions without providing prior written notice to the firm. The findings also stated that Dunlap personally invested \$20,000 in the private offering without first providing written notice to the firm.

Current Status:

Final

Resolution:

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?

No

Resolution Date:

12/29/2015

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension
Undertaking
Other: {undertaking}- required to cooperate with FINRA in its continuing investigation of FINRA matter number 20120332912.

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?

No

(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 2

Sanction Type:	Suspension
Capacities Affected:	A principal capacity
Duration:	one month
Start Date:	02/02/2016
End Date:	03/01/2016

Sanction 2 of 2

Sanction Type:	Suspension
Capacities Affected:	Any capacity
Duration:	10 business days
Start Date:	01/19/2016
End Date:	02/01/2016

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$15,000.00



Portion Levied against individual: \$15,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 01/29/2016

Was any portion of penalty waived? No

Amount Waived:

.....

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Date Initiated: 12/29/2015

Docket/Case Number: [2012033291203](#)

Employing firm when activity occurred which led to the regulatory action: Ameriprise Financial Services, Inc.

Product Type: Other: Private Securities

Allegations: Alleged violation of NASD Rule 3040(b) and FINRA Rule 2010 for personally investing in a private offering without prior notice and approval of his member firm and alleged violation of NASD Rule 3010(b) and FINRA Rule 2010 related to his oversight of the branch manager's performance of his responsibilities, as well as the branch manager's disclosure of his participation in private offering.

Current Status: Final

Resolution: 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? No

Resolution Date: 12/29/2015

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

Sanction 1 of 2

Sanction Type: Suspension

Capacities Affected: Principal capacity

Duration: 1 month

Start Date: 02/02/2016

End Date: 03/01/2016

Sanction 2 of 2



Sanction Type:	Suspension
Capacities Affected:	Any capacity
Duration:	10 business days
Start Date:	01/19/2016
End Date:	02/01/2016
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$15,000.00
Portion Levied against individual:	\$15,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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