



## IAPD Report

# Jacqueline Hanson Aime

CRD# 2903017

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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

### Jacqueline Hanson Aime (CRD# 2903017)

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>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/16/2025
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/16/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Leesburg, VA	07/13/2023 - 06/16/2025
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Leesburg, VA	06/16/2023 - 05/02/2025
<b>IA</b>	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	Vienna, VA	08/03/2018 - 06/02/2020

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



## 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 **9** 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>B</b>	FINRA	General Securities Representative	Approved	06/16/2025
<b>B</b>	Florida	Agent	Approved	12/17/2025
<b>B</b>	Maryland	Agent	Approved	08/18/2025
<b>IA</b>	Maryland	Investment Adviser Representative	Approved	08/18/2025
<b>B</b>	Michigan	Agent	Approved	12/18/2025
<b>B</b>	New York	Agent	Approved	12/15/2025
<b>B</b>	North Carolina	Agent	Approved	12/16/2025
<b>B</b>	Ohio	Agent	Approved	12/17/2025
<b>B</b>	South Carolina	Agent	Approved	12/17/2025
<b>B</b>	Utah	Agent	Approved	12/17/2025
<b>B</b>	Virginia	Agent	Approved	06/16/2025
<b>IA</b>	Virginia	Investment Adviser Representative	Approved	06/16/2025

### Branch Office Locations



## Qualifications

**AMERIPRISE FINANCIAL SERVICES, LLC**

Leesburg, VA

**AMERIPRISE FINANCIAL SERVICES, LLC**

300 Red Brook Blvd Ste 320

Owings Mills, MD 21117

**AMERIPRISE FINANCIAL SERVICES, LLC**

Leesburg, 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 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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<b>B</b> General Securities Representative Examination (S7TO)	Series 7TO	06/16/2023
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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> General Securities Representative Examination (S7)	Series 7	08/01/2000
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<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/25/1997
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#### State Securities Law Exams

Exam	Category	Date
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	06/28/2023
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<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	04/01/2002
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### 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
IA	07/13/2023 - 06/16/2025	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Leesburg, VA
B	06/16/2023 - 05/02/2025	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Leesburg, VA
IA	08/03/2018 - 06/02/2020	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	Vienna, VA
B	08/01/2018 - 06/01/2020	PRUCO SECURITIES, LLC.	CRD# 5685	NEWARK, NJ
IA	12/10/2013 - 07/26/2018	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	WASHINGTON, DC
B	12/10/2013 - 07/06/2018	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	WASHINGTON, DC
IA	03/19/2012 - 01/02/2014	OPES CAPITAL MANAGEMENT, LLC	CRD# 161200	LEESBURG, VA
IA	11/25/2009 - 02/23/2012	UNITED BROKERAGE SERVICES INC	CRD# 39062	VIENNA, VA
B	11/25/2009 - 02/23/2012	UNITED BROKERAGE SERVICES, INC	CRD# 39062	VIENNA, VA
B	04/27/2009 - 11/05/2009	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	RESTON, VA
IA	04/08/2008 - 04/30/2009	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	RESTON, VA
B	10/11/2007 - 04/30/2009	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	RESTON, VA
B	05/16/2007 - 10/12/2007	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	MCLEAN, VA
IA	05/16/2007 - 10/12/2007	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	MCLEAN, VA
B	01/03/2006 - 04/11/2007	BB&T INVESTMENT SERVICES, INC.	CRD# 33856	FAIRFAX, VA
IA	01/03/2006 - 04/11/2007	BB&T INVESTMENT SERVICES, INC.	CRD# 33856	FAIRFAX, VA



## 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	03/08/2005 - 12/14/2005	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	ATLANTA, GA
IA	03/08/2005 - 12/14/2005	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	VIENNA, VA
B	10/20/2004 - 02/08/2005	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
IA	10/20/2004 - 02/08/2005	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	MCLEAN, VA
B	03/30/2004 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
IA	03/30/2004 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	MCLEAN, VA
B	04/09/2002 - 03/18/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	04/09/2002 - 03/18/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	MCLEAN, VA
B	07/07/2000 - 04/08/2002	SUNTRUST SECURITIES, INC.	CRD# 17499	ATLANTA, GA
B	11/04/1997 - 06/27/2000	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	09/26/1997 - 10/20/1997	NYLIFE SECURITIES INC.	CRD# 5167	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
06/2025 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Rep.	Y	Owings Mills, MD, United States
04/2025 - 06/2025	Unemployed	N/A	N	Leesburg, VA, United States
01/2023 - 04/2025	Ameriprise Financial Services, LLC.	FINANCIAL ADVISOR	Y	Leesburg, VA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2023 - 01/2023	AMERIPRISE	FINANCIAL PLANNER	Y	LEESBURG, VA, United States
03/2022 - 01/2023	Housewife	Housewife	N	Leesburg, VA, United States
09/2021 - 03/2022	Anthem	Medicare Sales Agent	N	Leesburg, VA, United States
05/2020 - 09/2021	Humana	Medicare Sales Agent	N	Leesburg, VA, United States
07/2018 - 05/2020	Pruco Securities LLC	Registered Representative	Y	Vienna, VA, United States
07/2018 - 05/2020	The Prudential Insurance Company of America	Financial Professional	N	Vienna, VA, United States
03/2020 - 03/2020	AMERIPRISE FINANCIAL SERVICES LLC	REGISTERED REP	Y	LEESBURG, VA, United States
03/2020 - 03/2020	Ameriprise Financial Services, LLC	Registered Rep	Y	Leesburg, VA, United States
12/2013 - 07/2018	CUSO FINANCIAL SERVICES, LP	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, 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.

Real Estate Ownership; Single Family; 1618 N Carolina Ave, , Aiken, SC, 29801; Investment-Related; 04/01/2021.



## 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

### 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>	09/19/2012
<b>Docket/Case Number:</b>	<a href="#">2011027337901</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	UNITED BROKERAGE SERVICES, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	FINRA RULES 1122, 2010: HANSON FAILED TO MAKE A TIMELY DISCLOSURE OF A MATERIAL FACT ON HER FORM U4.
<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>	No
<b>Resolution Date:</b>	09/19/2012
<b>Sanctions Ordered:</b>	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?

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 1**

**Sanction Type:** Suspension

**Capacities Affected:** ALL CAPACITIES

**Duration:** 30 BUSINESS DAYS

**Start Date:** 10/01/2012

**End Date:** 11/09/2012

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, HANSON CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE SHE IS SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 BUSINESS DAYS. NO MONETARY SANCTION IS BEING ASSESSED IN THIS MATTER. THE SUSPENSION IS IN EFFECT OCTOBER 1, 2012 THROUGH NOVEMBER 9, 2012.

**Reporting Source:** Individual

**Regulatory Action Initiated By:** FINANCIAL INDUSTRY REGULATORY AUTHORITY

**Sanction(s) Sought:** Other: N/A

**Date Initiated:** 09/19/2012

**Docket/Case Number:** [2011027337901](#)

**Employing firm when activity occurred which led to the regulatory action:** UNITED BROKERAGE SERVICES, INC

**Product Type:** No Product

**Allegations:** FINRA RULES 122,2010: HANSON FAILED TO MAKE A TIMELY DISCLOSURE OF A MATERIAL FACT ON FORM U4

**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:** 09/19/2012

**Sanctions Ordered:** Suspension

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** ALL CAPACITIES

**Duration:** 30 BUSINESS DAYS

**Start Date:** 10/01/2012

**End Date:** 11/09/2012



**Broker Statement**

WITHOUT ADMITTING OR DENYING THE FINDINGS, HANSON CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE SHE IS SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 BUSINESS DAYS. NO MONETARY SANCTION IS BEING ASSESSED IN THIS MATTER.



### 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

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** CUSO Financial Services, LP

**Allegations:** Through an attorney, client alleged that a REIT purchased through a former CFS representative in the amount of \$25,000 was inappropriate and involved a higher degree of risk than the client was willing to accept. CFS review revealed that full disclosure of material information associated with the REIT were made at the time of purchase and that client-signed documentation supported suitability for the REIT recommendation. Accordingly, CFS denied the complaint allegation in writing on 2/14/2020. \* As an accommodation to avoid protracted legal expenses CFS settled with the client. CFS found no merit to the allegations.

**Product Type:** Real Estate Security

**Alleged Damages:** \$14,500.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

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

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 20-00705

**Filing date of arbitration/CFTC reparation or civil litigation:** 03/03/2020

### Customer Complaint Information

**Date Complaint Received:** 03/03/2020

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/17/2020

**Settlement Amount:** \$6,250.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** As an accommodation to avoid protracted legal expenses CFS settled with the client. CFS found no merit to the allegations.

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:** CUSO FINANCIAL SERVICES, L.P.

**Allegations:** Through an attorney, client alleged that a REIT purchased through a former CFS representative in the amount of \$25,000 was inappropriate and involved a higher degree of risk than the client was willing to accept. CFS review revealed that full disclosure of material information associated with the REIT were made at the time of purchase and that client-signed documentation supported suitability for the REIT recommendation. Accordingly, CFS denied the complaint allegation in writing on 2/14/2020. \* As an accommodation to avoid protracted legal expenses CFS settled with the client. CFS found no merit to the allegations.

**Product Type:** Real Estate Security

**Alleged Damages:** \$14,500.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

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

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 20-00705

**Filing date of arbitration/CFTC reparation or civil litigation:** 03/03/2020

### Customer Complaint Information

**Date Complaint Received:** 03/26/2020

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 05/13/2020

**Settlement Amount:** \$6,250.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** As an accommodation to avoid protracted legal expenses CFS settled with the client. CFS found no merit to the allegations.

### Disclosure 2 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** CUSO Financial Services, LP

**Allegations:** Client alleged that she was not properly informed of surrender penalties and tax treatment of variable annuity purchased through a CFS representative in November of 2016. The client transferred the same VA to a new servicing firm in September of 2017. CFS review revealed that full disclosures of material information associated with the annuity were made at the time of purchase and that signed documentation supported suitability for the VA recommendation. At the time of this filing, CFS continues to review options for resolution. CFS has advised



the client that a review of this matter will be finalized by 7/13/2018. -Update- CFS had responded to the client with a denial of allegations in July of 2018 and included an accommodation offer by the former CFS program to resolve a potential misunderstanding amicably. The client had transferred her annuity to an outside firm in 2018 and was unresponsive to the offer to the offer of resolution. CFS has now closed this matter with no further issues reported from the client.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$15,000.00

**Alleged Damages Amount Explanation (if amount not exact):** Approximate amount of current surrender charges cited by client in complaint

**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:** 06/07/2018

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 01/10/2019

**Settlement Amount:**

**Individual Contribution Amount:**

.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** CUSO Financial Services, LP

**Allegations:** Client alleged that she was not properly informed of surrender penalties and tax treatment of variable annuity purchased through a CFS representative in November of 2016. The client transferred the same VA to a new servicing firm in September of 2017. CFS review revealed that full disclosures of material information associated with the annuity were made at the time of purchase and that signed documentation supported suitability for the VA recommendation. At the time of this filing, CFS continues to review options for resolution. CFS has advised the client that a review of this matter will be finalized by 7/13/2018.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$15,000.00

**Alleged Damages Amount Explanation (if amount not exact):** Approximate amount of current surrender charges cited by client in complaint

**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: 06/07/2018  
Complaint Pending? No  
Status: Closed/No Action  
Status Date: 01/10/2019

Settlement Amount:

Individual Contribution  
Amount:

### Disclosure 3 of 3

Reporting Source: Individual  
Employing firm when  
activities occurred which led  
to the complaint: WACHOVIA SECURITIES, LLC.

Allegations: VIRGINIA CLIENT ALLEGES THAT HER UNIT INVESTMENT TRUSTS  
PURCHASED ON MAY 12, 2003 AT THE RECOMMENDATION OF FINANCIAL  
ADVISOR JACQUELINE MOORE, WERE MISREPRESENTED AS FREE FROM  
FLUCTUATION, UNRELATED TO THE BOND MARKET AND WITH LOWER  
TRANSACTION FEES THAN WERE THE CASE. CLIENT REQUESTS  
COMPENSATION OF \$45,000 AS A RESULT.

Product Type: Unit Investment Trust(s)

Alleged Damages: \$45,000.00

### Customer Complaint Information

Date Complaint Received: 08/28/2003  
Complaint Pending? No  
Status: Denied  
Status Date: 10/08/2003

Settlement Amount:

Individual Contribution  
Amount:

Broker Statement

CLAIM DENIED IN WRITING BY FIRM ON OCTOBER 8, 2003. UPON REVIEW,  
THE FINANCIAL ADVISOR FIRMLY RECALLS THOROUGHLY EXPLAINING ALL  
OF THE RISKS AND FEATURES OF THE INVESTMENTS AND GIVING A CLEAR  
DESCRIPTION OF THE INVESTMENTS AS BOND MARKET RELATED. IN  
ADDITION, THE CLIENT PROPERLY EXECUTED ALL DISCLOSURE FORMS  
AND THE INVESTMENTS APPEAR SUITABLY CONSERVATIVE GIVEN THE  
LONG-TERM GROWTH OBJECTIVE SUBMITTED BY THE CLIENT ON HER  
NEW ACCOUNT FORM.



## End of Report

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