



IAPD Report

DALE LAWRENCE CEBERT

CRD# 2986573

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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

DALE LAWRENCE CEBERT (CRD# 2986573)

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 **03/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	02/02/2026
IA	LPL FINANCIAL LLC	CRD# 6413	02/02/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **48** 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 FINANCIAL SERVICES, LLC	6363	The Villages, FL	08/16/2018 - 02/13/2026
IA	AMERIPRISE FINANCIAL SERVICES, LLC	6363	The Villages, FL	08/15/2018 - 02/13/2026
IA	FSC SECURITIES CORPORATION	7461	The Villages, FL	05/08/2014 - 08/21/2018

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	2
Customer Dispute	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 **48** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	02/02/2026
B FINRA	General Securities Principal	Approved	02/03/2026
B FINRA	General Securities Sales Supervisor	Approved	02/03/2026
B Alabama	Agent	Approved	02/13/2026
B Alaska	Agent	Approved	03/19/2026
B Arizona	Agent	Approved	02/02/2026
B Arkansas	Agent	Approved	02/02/2026
B California	Agent	Approved	02/02/2026
B Colorado	Agent	Approved	02/27/2026
B Connecticut	Agent	Approved	02/17/2026
B Delaware	Agent	Approved	02/13/2026
B District of Columbia	Agent	Approved	02/02/2026
B Florida	Agent	Approved	02/12/2026



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	02/12/2026
B Georgia	Agent	Approved	02/03/2026
B Hawaii	Agent	Approved	04/15/2026
B Idaho	Agent	Approved	02/02/2026
B Illinois	Agent	Approved	02/23/2026
B Indiana	Agent	Approved	02/12/2026
B Iowa	Agent	Approved	02/17/2026
B Kansas	Agent	Approved	02/02/2026
B Kentucky	Agent	Approved	02/02/2026
B Louisiana	Agent	Approved	02/02/2026
B Maine	Agent	Approved	02/24/2026
B Maryland	Agent	Approved	02/02/2026
B Massachusetts	Agent	Approved	03/27/2026
B Michigan	Agent	Approved	02/02/2026
B Minnesota	Agent	Approved	02/13/2026
B Mississippi	Agent	Approved	02/02/2026
B Missouri	Agent	Approved	02/03/2026
B Montana	Agent	Approved	02/06/2026
B Nevada	Agent	Approved	02/12/2026



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	02/02/2026
B New Jersey	Agent	Approved	02/02/2026
B New Mexico	Agent	Approved	02/02/2026
B New York	Agent	Approved	02/02/2026
B North Carolina	Agent	Approved	02/02/2026
B North Dakota	Agent	Approved	02/02/2026
B Ohio	Agent	Approved	02/02/2026
B Oklahoma	Agent	Approved	02/12/2026
B Oregon	Agent	Approved	02/02/2026
B Pennsylvania	Agent	Approved	02/02/2026
B Rhode Island	Agent	Approved	02/17/2026
B South Carolina	Agent	Approved	02/17/2026
B Tennessee	Agent	Approved	02/02/2026
B Texas	Agent	Approved	05/11/2026
IA Texas	Investment Adviser Representative	Restricted Approval	02/02/2026
B Utah	Agent	Approved	02/02/2026
B Vermont	Agent	Approved	02/02/2026
B Virginia	Agent	Approved	02/13/2026



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	02/17/2026
B West Virginia	Agent	Approved	02/02/2026
B Wisconsin	Agent	Approved	02/02/2026

Branch Office Locations

LPL FINANCIAL LLC
11714 NORTHEAST 62ND TERRACE
STE 100
THE VILLAGES, FL 32162

LPL FINANCIAL LLC
215 SE 8TH ST STE 100
OCALA, FL 34471

LPL FINANCIAL LLC
2765 BROWNWOOD BOULEVARD
THE VILLAGES, FL 32163



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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/27/2012
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/27/2012
General Securities Principal Examination (S24)	Series 24	02/07/2001
Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	07/31/2000

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	10/09/2000
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/19/1998

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	10/17/2000

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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	08/16/2018 - 02/13/2026	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	The Villages, FL
IA	08/15/2018 - 02/13/2026	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	The Villages, FL
IA	05/08/2014 - 08/21/2018	FSC SECURITIES CORPORATION	CRD# 7461	The Villages, FL
B	04/17/2014 - 08/21/2018	FSC SECURITIES CORPORATION	CRD# 7461	The Villages, FL
IA	07/02/2012 - 04/02/2014	MORGAN STANLEY	CRD# 149777	THE VILLAGES, FL
B	06/18/2012 - 04/02/2014	MORGAN STANLEY	CRD# 149777	THE VILLAGES, FL
IA	09/14/2007 - 06/18/2012	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	THE VILLAGES, FL
B	09/13/2007 - 06/18/2012	NATIONAL PLANNING CORPORATION	CRD# 29604	THE VILLAGES, FL
B	02/08/2002 - 09/18/2007	SECURITIES AMERICA, INC.	CRD# 10205	THE VILLAGES, FL
IA	09/13/2000 - 09/18/2007	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	THE VILLAGES, FL
B	02/04/2002 - 02/12/2002	NATIONAL PLANNING CORPORATION	CRD# 29604	LOS ANGELES, CA
B	08/03/2000 - 02/06/2002	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	08/05/1998 - 08/22/2000	CONSECO SECURITIES, INC.	CRD# 29367	CARMEL, IN
B	02/20/1998 - 08/05/1998	CONSECO FINANCIAL SERVICES, INC.	CRD# 629	CARMEL, IN



Registration & Employment History

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
02/2026 - Present	LPL Financial LLC	Registered Representative	Y	The Villages, FL, United States
04/2014 - Present	CEBERT WEALTH MANAGEMENT, INC	INSURANCE AGENT/OWNER	Y	THE VILLAGES, FL, United States
03/2020 - 02/2026	Ameriprise Financial Services, LLC	Registered Rep	Y	The Villages, FL, United States
08/2018 - 03/2020	Ameriprise Financial Services Inc	REGISTERED REP	Y	The Villages, FL, United States
04/2014 - 08/2018	FSC SECURITIES CORPORATION	FINANCIAL ADVISOR	Y	THE VILLAGES, FL, 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.

- 1/2026 - D C C N, Inc - Business Entity For Tax/Investment Purposes Only - Investment Related - 200 Hour(s)/Month - 170 Hour(s) During Trading - The Villages FL 32162 - OBA Start Date: 04/02/2014
- 1/2026 - Cebert Tax Service, LLC - Tax Prep/Accounting/CPA - Not Investment Related - 1 Hour(s)/Month - 0 Hour(s) During Trading - The Villages FL 32162 - OBA Start Date: 01/17/2020
- 1/2026 - Cebert Wealth - DBA for LPL Business (entity for LPL business) - Investment Related - 0 Hour(s)/Month - 0 Hour(s) During Trading - At Reported business location(s) - OBA Start Date: 2/2/2026



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	2
Customer Dispute	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 2

Reporting Source:	Firm
Regulatory Action Initiated By:	NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Revocation Suspension
Date Initiated:	12/26/2013
Docket/Case Number:	2013-0221-S
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY
Product Type:	Insurance
Allegations:	MR. CEBERT VIOLATED SECTION 2110(I) OF THE INSURANCE LAW IN THAT HE FAILED TO REPORT TO THE SUPERINTENDENT WITHIN 30 DAYS OF THE FINAL DISPOSITION OF THE MATTER ON OR ABOUT DECEMBER 19, 2007, THE FLORIDA OFFICE OF FINANCIAL REGULATION (OFR) FINED MR. CEBERT IN THE AMOUNT OF \$10,000.00 AND ORDERED THAT HE CEASE AND DESIST FROM ENGAGING IN CERTAIN CONDUCT; AND MR. CEBERT PROVIDED MATERIALLY INCORRECT AND UNTRUE INFORMATION WITHIN THE MEANING OF SECTION 2110(A)(2) OF THE INSURANCE LAW IN HIS RENEWAL APPLICATION FOR AN AGENT'S LICENSE UNDER SECTION 2103(A) OF THE INSURANCE LAW IN THAT MR. CEBERT FAILED TO DISCLOSE THAT THE OFR FINED HIM AND ORDERED THAT HE CEASE AND DESIST FROM ENGAGING IN CERTAIN CONDUCT AS FORESAID.
Current Status:	Final



Resolution: Stipulation and Consent
Resolution Date: 12/26/2013
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$1,500.00
Portion Levied against individual: \$1,500.00

Payment Plan:

Is Payment Plan Current:
Date Paid by individual: 12/24/2013
Was any portion of penalty waived? No

Amount Waived:

.....

Reporting Source: Individual
Regulatory Action Initiated By: NEW YORK DEPARTMENT OF FINANCIAL SERVICES
Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Revocation
Suspension

Date Initiated: 11/22/2013
Docket/Case Number: 2013-0221-S

Employing firm when activity occurred which led to the regulatory action: NATIONAL PLANNING CORPORATION

Product Type: No Product

Allegations: ALLEGED VIOLATION OF SECTION 2110(I) OF NY INSURANCE LAW FOR NOT REPORTING 12/19/2007 FLORIDA STIPULATION AND CONSENT AGREEMENT WITHIN 30 DAYS AND PROVIDED MATERIALLY INCORRECT AND UNTRUE INFORMATION IN HIS RENEWAL APPLICATION BY NOT REPORTING AFOREMENTIONED FLORIDA STIPULATION AND CONSENT AGREEMENT.

Current Status: Final

Resolution: Stipulation and Consent

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: 12/26/2013
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$1,500.00**Portion Levied against individual:** \$1,500.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 12/24/2013**Was any portion of penalty waived?** No**Amount Waived:****Broker Statement**

MR. CEBERT TIMELY DISCLOSED THE FL OFR STIPULATION AND CONSENT ON HIS FORM U4 IN 2007, BUT IT WAS INADVERTENTLY NOT INCLUDED ON THE 2011 APPLICATION FOR RENEWAL OF HIS NY INSURANCE LICENSE DUE TO AN ADMINISTRATIVE OVERSIGHT. HE BECAME AWARE OF THE 2011 ADMINISTRATIVE ERROR AFTER HE CORRECTLY DISCLOSED THE FL OFR MATTER ON THE 2013 APPLICATION FOR RENEWAL OF HIS NY INSURANCE LICENSE. MR. CEBERT AGREED TO PAYMENT OF AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$1,500.

Disclosure 2 of 2**Reporting Source:** Individual**Regulatory Action Initiated By:** STATE OF FLORIDA**Sanction(s) Sought:** Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)**Date Initiated:** 12/19/2007**Docket/Case Number:** 0354-S-9/07**Employing firm when activity occurred which led to the regulatory action:** SECURITIES AMERICA, INC.**Product Type:** No Product**Allegations:** THE STATE OF FLORIDA OFFICE OF FINANCIAL REGULATION ("OFR") ALLEGED THAT MR. CEBERT, AS BRANCH MANAGER, FAILED TO SUBMIT TWO ADVERTISEMENTS FOR REVIEW AND APPROVAL TO SECURITIES AMERICA PRIOR TO USE AND ALLOWED THE ADVERTISEMENTS TO INCLUDE STATEMENTS WHICH "WERE VAGUE, MISLEADING AND FAILED TO PROVIDE A SOUND BASIS FOR EVALUATING THE PRODUCTS OR SERVICES OFFERED;" INCLUDED "A STATEMENT PROMISSORY OF FUTURE RETURNS;" AND/OR INCLUDED "EXAGGERATED STATEMENTS."**Current Status:** Final**Resolution:** Stipulation and Consent



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:

12/19/2007

Sanctions Ordered:

Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$10,000.00

Portion Levied against individual:

\$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

12/19/2007

Was any portion of penalty waived?

No

Amount Waived:

Broker Statement

FROM JANUARY THROUGH JULY 2006, MR. CEBERT'S BRANCH OFFICE SUBMITTED 256 ADVERTISING PIECES TO SECURITIES AMERICA FOR PRIOR APPROVAL. DURING THIS SAME PERIOD, WITHOUT MR. CEBERT'S KNOWLEDGE, A BRANCH REGISTERED REPRESENTATIVE DID NOT SUBMIT TWO ADVERTISING PIECES FOR APPROVAL PRIOR TO USE. THE TWO ADVERTISEMENTS WERE AN OVERSIGHT AND NOT A STANDARD PRACTICE OF THE BRANCH. ONE OF THE ADVERTISEMENTS WAS AN OPEN HOUSE ADVERTISEMENT IN FEBRUARY 2006 THAT INCLUDED THE PHRASE "THE VILLAGES PREMIER WEALTH MANAGEMENT FIRM." THIS DESCRIPTION OF THE BRANCH HAD BEEN APPROVED BY SECURITIES AMERICA IN PRIOR ADVERTISEMENTS. AFTER THE OFR'S REVIEW, THE BRANCH LEARNED THAT THE DESCRIPTION WAS CONSIDERED AN EXAGGERATED STATEMENT AND CEASED USING THE PHRASE. THE OTHER ADVERTISEMENT WAS AN INVITATION TO A PUBLIC SEMINAR, TITLED "PROTECT GROW HOW YOU CAN ENSURE YOUR WEALTH DOES BOTH." THE TITLE WAS DETERMINED TO BE PROMISSORY AND THE BRANCH WAS REQUESTED REMOVE THE PHRASE BEFORE PRINTING; HOWEVER THE REQUEST WAS NOT TIMELY RECEIVED AND THE PHRASE WAS UNINTENTIONALLY PRINTED ON THE INVITATION.



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: AMERIPRISE FINANCIAL SERVICES, LLC

Allegations: The client alleged that 200 shares of Apple Stock (AAPL) were sold in her non-qualified SPS Advantage Individual TOD account in December of 2023 without her authorization.

Product Type: Equity-OTC

Alleged Damages: \$6,547.40

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: 05/30/2024

Complaint Pending? No

Status: Settled

Status Date: 07/24/2024

Settlement Amount: \$6,547.40

Individual Contribution Amount: \$6,547.40

Broker Statement The sale of the stock in question was as a result of a covered call exercise, not an unauthorized trade. The reimbursement to the client represented tax penalties and an increased Medicare premium



End of Report

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