



IAPD Report

RODNEY L. WATKINS JR.

CRD# 3091936

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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

RODNEY L. WATKINS JR. (CRD# 3091936)

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 **04/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TACTIVE ADVISORS, LLC	CRD# 309311	04/21/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
IA	WATKINS AND ASSOCIATES INVESTMENT SERVICES, LLC	171624	TULSA, OK	08/11/2014 - 09/17/2025
B	SOUTHEAST INVESTMENTS, N.C., INC.	43035	CHARLOTTE, NC	02/24/2012 - 07/24/2017
IA	SOUTHEAST INVESTMENTS, N.C., INC.	43035	Tulsa, OK	10/21/2013 - 10/21/2013

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	3
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **TACTIVE ADVISORS, LLC**

Main Address: 1990 MAIN STREET
SUITE 750
SARASOTA, FL 34236

Firm ID#: 309311

Regulator	Registration	Status	Date
IA Oklahoma	Investment Adviser Representative	Approved	04/21/2025

Branch Office Locations

TACTIVE ADVISORS, LLC
1990 MAIN STREET
SUITE 750
SARASOTA, FL 34236



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	07/24/2017
B General Securities Representative Examination (S7)	Series 7	08/06/1998

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/05/1999
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/20/1998

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
IA	08/11/2014 - 09/17/2025	WATKINS AND ASSOCIATES INVESTMENT SERVICES, LLC	CRD# 171624	TULSA, OK
B	02/24/2012 - 07/24/2017	SOUTHEAST INVESTMENTS, N.C., INC.	CRD# 43035	CHARLOTTE, NC
IA	10/21/2013 - 10/21/2013	SOUTHEAST INVESTMENTS, N.C., INC.	CRD# 43035	Tulsa, OK
IA	01/23/2012 - 02/27/2012	CONCERT WEALTH MANAGEMENT	CRD# 141253	TULSA, OK
IA	10/24/2011 - 11/25/2011	INVESTACORP ADVISORY SERVICES INC	CRD# 109011	TULSA, OK
B	10/24/2011 - 11/25/2011	INVESTACORP, INC.	CRD# 7684	TULSA, OK
B	03/06/2009 - 10/26/2011	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	TULSA, OK
IA	03/06/2009 - 10/26/2011	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	TULSA, OK
B	04/02/2009 - 05/05/2011	SECURITIES AMERICA, INC.	CRD# 10205	TULSA, OK
IA	01/22/1999 - 03/12/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	TULSA, OK
B	12/18/1998 - 03/12/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	TULSA, OK
B	08/07/1998 - 11/20/1998	FIDELITY BROKERAGE SERVICES, INC.	CRD# 7784	SMITHFIELD, RI

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
04/2025 - Present	Tactive Advisors, LLC	Investment Adviser Representative	Y	SARASOTA, FL, United States
06/2014 - Present	WATKINS AND ASSOCIATES INVESTMENT SERVICES, LLC	CCO AND MANAGING MEMBER	Y	TULSA, OK, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2011 - Present	WATKINS AND ASSOCIATES FINANCIAL SERVICES	OWNER/ADVISOR	Y	TULSA, OK, United States
12/2016 - 01/2025	Alfresco Group	Partner	N	Tulsa, OK, United States
02/2012 - 07/2017	SOUTHEAST INVESTMENTS, N.C. INC.	REGISTERED REPRESENTATIVE	Y	CHARLOTTE, NC, 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.

WATKINS & ASSOCIATES FINANCIAL SERVICES: 1419 S. Utica, Tulsa, OK 74101. 08/2011. I AM OWNER OF THIS FINANCIAL SERVICES BUSINESS. I WILL DEVOTE 100 HOURS PER MONTH TO THIS BUSINESS. I AM COMPENSATED BY COMMISSIONS. I am a partner in this real estate business. I will devote 75 hours per month to this business. I am compensated by fees.

Level 3 Holdings LLC; not investment related; 2250 N. Main St., Tulsa, OK 74106; Entity used for personal investment in commercial real estate; Managing Member; 40 - 50 hours per month; 40 - 50 hours per month during trading hours; July 22, 2020; Entity used for personal investment in commercial real estate.



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	3
Termination	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 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	OKLAHOMA DEPARTMENT OF SECURITIES
Sanction(s) Sought:	Bar Denial
Date Initiated:	03/26/2014
Docket/Case Number:	12-058
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	SOUTHEAST INVESTMENTS, N.C. INC.
Product Type:	No Product
Allegations:	THE DEPARTMENT ALLEGED THAT WATKINS OFFERED AND SOLD SECURITIES IN AND/OR FROM THE STATE OF OKLAHOMA WHILE HE WAS SUSPENDED FROM REGISTRATION UNDER THE OKLAHOMA SECURITIES ACT.
Current Status:	Final
Resolution:	Settled



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:	04/30/2014
Sanctions Ordered:	Other: NO SANCTIONS WERE ORDER. HOWEVER, WATKINS AGREED TO HIRE AN INDEPENDENT COMPLIANCE CONSULTANT TO PERFORM MONTHLY REVIEWS OF HIS BUSINESS AS A BROKER-DEALER AGENT AND ANY POTENTIAL BUSINESS AS AN INVESTMENT ADVISER REPRESENTATIVE FOR THREE YEARS AND TO FILE A REPORT WITH THE DEPARTMENT ANNUALLY. AS PART OF THE AGREEMENT, THE DEPARTMENT ALLOWED WATKINS TO BECOME REGISTERED AS A BROKER-DEALER AGENT. THE AGREEMENT FURTHER PROVIDED THAT THIS ACTION WOULD BE REPORTED ON CRD.
Regulator Statement	WATKINS AGREED TO HIRE AN INDEPENDENT COMPLIANCE CONSULTANT TO PERFORM MONTHLY REVIEWS OF HIS BUSINESS AS A BROKER-DEALER AGENT AND ANY POTENTIAL BUSINESS AS AN INVESTMENT ADVISER REPRESENTATIVE FOR THREE YEARS AND TO FILE A REPORT WITH THE DEPARTMENT ANNUALLY. AS PART OF THE AGREEMENT, THE DEPARTMENT ALLOWED WATKINS TO BECOME REGISTERED AS A BROKER-DEALER AGENT. THE AGREEMENT FURTHER PROVIDED THAT THIS ACTION WOULD BE REPORTED ON CRD.
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Reporting Source:	Individual
Regulatory Action Initiated By:	OKLAHOMA DEPARTMENT OF SECURITIES
Sanction(s) Sought:	Bar Denial
Date Initiated:	03/26/2014
Docket/Case Number:	12-058
Employing firm when activity occurred which led to the regulatory action:	SOUTHEAST INVESTMENTS NC INC
Product Type:	No Product
Allegations:	THE DEPARTMENT ALLEGED THAT WATKINS OFFERED AND SOLD SECURITIES IN AND/OR FROM THE STATE OF OKLAHOMA WHILE HE WAS SUSPENDED FROM REGISTRATION UNDER THE OKLAHOMA SECURITIES ACT
Current Status:	Final
Resolution:	Settled
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:	04/30/2014
Sanctions Ordered:	Other: NO SANCTIONS WERE ORDERED. HOWEVER WATKINS AGREED TO HIRE AN INDEPENDENT COMPLIANCE CONSULTANT TO PERFORM MONTHLY REVIEWS OF HIS BUSINESS AS A BROKER/DEALER AGENT AND ANY POTENTIAL BUSINESS AS AN INVESTMENT ADVISER REPRESENTATIVE FOR THREE YEARS AND TO FILE A REPORT WITH THE DEPARTMENT ANNUALLY. AS PART OF THE AGREEMENT THE DEPARTMENT ALLOWED WATKINS TO BECOME REGISTERED AS A BROKER/DEALER AGENT. THE DEPARTMENT FURTHER PROVIDED THAT THIS ACTION WOULD BE REPORTED ON CRD.
Broker Statement	WATKINS AGREED TO HIRE AN INDEPENDENT COMPLIANCE CONSULTANT TO PERFORM MONTHLY REVIEWS OF HIS BUSINESS AS A BROKER-DEALER AGENT AND ANY POTENTIAL BUSINESS AS AN INVESTMENT ADVISER REPRESENTATIVE FOR THREE YEARS AND TO FILE A REPORT WITH THE DEPARTMENT ANNUALLY. AS PART OF THE AGREEMENT THE DEPARTMENT ALLOWED WATKINS TO BECOME REGISTERED AS A BROKER-DEALER AGENT. THE AGREEMENT FURTHER PROVIDED THAT THIS ACTION WOULD BE REPORTED ON CRD.

Disclosure 2 of 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	09/25/2013
Docket/Case Number:	2011029407801
Employing firm when activity occurred which led to the regulatory action:	AMERPRISE FINANCIAL SERVICES, INC.
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULE 2510(B): WATKINS EXERCISED DISCRETIONARY POWER IN CUSTOMER ACCOUNTS. WATKINS TRANSACTED THESE SECURITIES TRANSACTIONS IN HIS CUSTOMERS' ACCOUNTS WHEN HE DID NOT HAVE WRITTEN CUSTOMER AUTHORIZATION AND WITHOUT WRITTEN APPROVAL BY HIS MEMBER FIRM. THE FIRM DID NOT PERMIT DISCRETIONARY TRADING WITHOUT WRITTEN AUTHORIZATION. WATKINS, IN ACCOMMODATION TO HIS CUSTOMERS, ALSO RECYCLED CUSTOMER SIGNATURES AND SIGNED CUSTOMER SIGNATURES WITHOUT AUTHORIZATION ON VARIOUS DOCUMENTS, INCLUDING ANNUITY AND BROKERAGE CASH DISTRIBUTION AND REDEMPTION FORMS, BENEFICIARY CHANGE FORMS, ANNUITY RECEIPTS, AND ANNUITY DISCLOSURE FORMS.
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: 09/25/2013

Sanctions Ordered: 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?

(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: THREE MONTHS
Start Date: 10/21/2013
End Date: 01/20/2014

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, WATKINS CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ALL CAPACITIES FOR THREE MONTHS. THE SUSPENSION IS IN EFFECT FROM OCTOBER 21, 2013, THROUGH JANUARY 20, 2014.

THIS SANCTION TAKES INTO CONSIDERATION THAT THE STATE OF OKLAHOMA PREVIOUSLY SANCTIONED RESPONDENT FOR THE ACTIVITIES IN QUESTION. RESPONDENT HAS SUBMITTED A SWORN FINANCIAL STATEMENT AND DEMONSTRATED AN INABILITY TO PAY. IN LIGHT OF THE FINANCIAL STATUS OF RESPONDENT, NO MONETARY SANCTIONS HAVE BEEN IMPOSED.

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 09/25/2013
Docket/Case Number: [2011029407801](#)
Employing firm when activity occurred which led to the regulatory action: AMERIPRIZE FINANCIAL SERVICES, INC.
Product Type: No Product
Allegations: FINRA RULE 2010, NASD RULE 2510(B): WATKINS EXERCISED DISCRETIONARY POWER IN CUSTOMER ACCOUNT. WATKINS TRANSACTED



THESE SECURITIES TRANSACTIONS IN HIS CUSTOMERS' ACCOUNTS WHEN HE DID NOT HAVE WRITTEN CUSTOMER AUTHORIZATION AND WITHOUT WRITTEN APPROVAL BY HIS MEMBER FIRM. THE FIRM DID NOT PERMIT DISCRETIONARY TRADING WITHOUT WRITTEN AUTHORIZATION. WATKINS, IN ACCOMMODATION TO HIS CUSTOMERS, ALSO RECYCLED CUSTOMER SIGNATURES AND SIGNED CUSTOMER SIGNATURES WITHOUT AUTHORIZATION ON VARIOUS DOCUMENTS, INCLUDING ANNUITY AND BROKERAGE CASH DISTRIBUTION AND REDEMPTION FORMS, BENEFICIARY CHANGE FORMS, ANNUITY RECEIPTS, AND ANNUITY DISCLOSURE FORMS.

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:	09/25/2013
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	THREE MONTHS
Start Date:	10/21/2013
End Date:	01/20/2014
Broker Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, WATKINS CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ALL CAPACITIES FOR THREE MONTHS. THE SUSPENSION IS IN EFFECT FROM OCTOBER 21, 2013, THROUGH JANUARY 20, 2014. THIS SANCTION TAKES INTO CONSIDERATION THAT THE STATE OF OKLAHOMA PREVIOUSLY SANCTIONED RESPONDENT FOR THE ACTIVITIES IN QUESTION. RESPONDENT HAS SUBMITTED A SWORN FINANCIAL STATEMENT AND DEMONSTRATED AN INABILITY TO PAY. IN LIGHT OF THE FINANCIAL STATUS OF RESPONDENT, NO MONETARY SANCTIONS HAVE BEEN IMPOSED.
Disclosure 3 of 3	
Reporting Source:	Regulator
Regulatory Action Initiated By:	OKLAHOMA DEPARTMENT OF SECURITIES
Sanction(s) Sought:	Bar Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	03/29/2012
Docket/Case Number:	12-058
URL for Regulatory Action:	



Employing firm when activity occurred which led to the regulatory action:	AMERIPRISE FINANCIAL SERVICES, INC.
Product Type:	No Product
Allegations:	THE DEPARTMENT ALLEGED THAT WATKINS ENGAGED IN UNETHICAL PRACTICES IN VIOLATION OF 660:11-5-42
Current Status:	Final
Resolution:	Order
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:	08/29/2012
Sanctions Ordered:	Bar (Temporary/Time Limited) Civil and Administrative Penalty(ies)/Fine(s) Other: FUTURE REGISTRATIONS WILL BE SUBJECT TO HEIGHTENED SUPERVISION FOR 3 YEARS.
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	ALL CAPACITIES
Duration:	9 MONTHS
Start Date:	11/25/2011
End Date:	08/26/2012
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,500.00
Portion Levied against individual:	\$2,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:
Reporting Source:	Individual
Regulatory Action Initiated By:	OKLAHOMA DEPARTMENT OF SECURITIES
Sanction(s) Sought:	Bar Civil and Administrative Penalty(ies)/Fine(s)



Date Initiated:	03/29/2012
Docket/Case Number:	12-058
Employing firm when activity occurred which led to the regulatory action:	AMERIPRISE FINANCIAL SERVICES INC.
Product Type:	No Product
Allegations:	THE DEPARTMENT ALLEGED THAT WATKINS ENGAGED IN UNETHICAL PRACTICES IN VIOLATION OF 660:11-5-42.
Current Status:	Final
Resolution:	Order
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:	08/29/2012
Sanctions Ordered:	Bar (Temporary/Time Limited) Civil and Administrative Penalty(ies)/Fine(s) Other: FUTURE REGISTRATIONS WILL BE SUBJECT TO HEIGHTENED SUPERVISION FOR THREE YEARS
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	ALL CAPACITIES
Duration:	9 MONTHS
Start Date:	11/25/2011
End Date:	08/26/2012
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,500.00
Portion Levied against individual:	\$2,500.00
Payment Plan:	NO CURRENT PAYMENT PLAN.
Is Payment Plan Current:	No
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



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:	AMERIPRISE FINANCIAL SERVICES INC.
Termination Type:	Voluntary Resignation
Termination Date:	10/24/2011
Allegations:	VIOLATING FIRM POLICIES ON DISCRETIONARY POWER, UNACCEPTABLE ACTIVITIES/TRANSACTIONS, PRE-SIGNED FORMS AND APPLICATIONS, FORGERY, SIGNATURE STAMPS AND OTHER SIGNATURE ISSUES, ANNUITY OVERVIEW.
Product Type:	Annuity-Fixed Annuity-Variable
Broker Statement	THE BASIS FOR THE ACTIVITIES IN REVIEW WERE EFFORTS TO PROVIDE CONVENIENCE AND UNINTERRUPTED SERVICE TO CLIENTS AS WELL AS MISUNDERSTOOD PROCESSES AND PROCEDURES.



End of Report

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