



IAPD Report

DUC TIEN TRAN

CRD# 3095273

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

DUC TIEN TRAN (CRD# 3095273)

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	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/04/2012
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/04/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	PASADENA, CA	03/19/2010 - 06/01/2012
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	PASADENA, CA	03/18/2010 - 06/01/2012
B	CITIGROUP GLOBAL MARKETS INC.	7059	ALHAMBRA, CA	05/29/2007 - 04/15/2010

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5
Judgment/Lien	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 **22** 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 Principal	Approved	06/04/2012
B	FINRA	General Securities Representative	Approved	06/04/2012
B	Arizona	Agent	Approved	07/02/2012
B	California	Agent	Approved	06/04/2012
IA	California	Investment Adviser Representative	Approved	06/05/2012
B	Colorado	Agent	Approved	07/22/2013
B	Florida	Agent	Approved	08/03/2017
B	Georgia	Agent	Approved	08/26/2014
B	Hawaii	Agent	Approved	08/11/2014
B	Idaho	Agent	Approved	05/01/2014
B	Illinois	Agent	Approved	10/29/2015
B	Minnesota	Agent	Approved	06/03/2018
B	Nevada	Agent	Approved	06/25/2012



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	03/31/2017
B New Mexico	Agent	Approved	05/22/2013
B New York	Agent	Approved	03/21/2016
B North Carolina	Agent	Approved	06/25/2020
B Ohio	Agent	Approved	04/13/2021
B Oklahoma	Agent	Approved	04/15/2016
B Oregon	Agent	Approved	05/08/2017
B Pennsylvania	Agent	Approved	11/06/2025
B Tennessee	Agent	Approved	08/04/2021
B Texas	Agent	Approved	06/04/2012
IA Texas	Investment Adviser Representative	Restricted Approval	06/04/2012
B Virginia	Agent	Approved	09/26/2018
B Washington	Agent	Approved	06/04/2012

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
 242 S DE LACEY AVE
 PASADENA, CA 91105-2006

AMERIPRISE FINANCIAL SERVICES, LLC
 Pasadena, CA




Qualifications

PASSED INDUSTRY EXAMS



This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	11/07/2011

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	05/21/2003
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/16/1998

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	07/06/2003
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/21/1998

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	03/19/2010 - 06/01/2012	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	PASADENA, CA
B	03/18/2010 - 06/01/2012	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	PASADENA, CA
B	05/29/2007 - 04/15/2010	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ALHAMBRA, CA
IA	05/29/2007 - 04/15/2010	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ALHAMBRA, CA
B	01/12/2007 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	ALHAMBRA, CA
IA	01/12/2007 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	ALHAMBRA, CA
IA	10/13/2006 - 10/23/2006	WM FINANCIAL SERVICES, INC.	CRD# 599	ARCADIA, CA
B	04/20/2004 - 10/23/2006	WM FINANCIAL SERVICES, INC.	CRD# 599	ARCADIA, CA
B	05/23/2003 - 04/20/2004	FIRST GLOBAL SECURITIES, INC.	CRD# 28612	PASADENA, CA
B	09/17/1998 - 11/17/2000	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA

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	Pasadena, CA, United States
06/2012 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Pasadena, CA, United States



Registration & Employment History



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; 17425 Arrow Blvd #2, Fontana CA, , ; ; 06/01/2006 / Single Family; 17425 Arrow Blvd #11, Fontana CA, , ; ; 06/01/2006. Business Ownership; Preferred Wealth Management Inc; ; Financial; 242 S. De Lacey Ave, Pasadena CA 91105, , ; Not Investment-Related; 02/10/2010; 1 to 9 hours per month; 0 during trading hours. Board of Directors; Arrow Heights HOA; Secretary; 17425 Arrow Heights BlvdFontana CA 92335, , ; ; 07/01/2015; 1 to 9 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
Customer Dispute	5
Judgment/Lien	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLIENT CLAIMS FA ADVISED HER SHE WOULD NOT HAVE TO PAY ANY FEES; AND CLIENT ALSO CLAIMS DUE TO FA'S ADVICE SHE INCURRED TAX LIABILITY. (DAMAGES NOT SPECIFIED, BUT ALLEGED OVER \$5,000.) (04/12/2010-04/30/2012)
Product Type:	Other: SELF DIRECTED FEE BASED ACCOUNTS(NON-MANAGED)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	(DAMAGES NOT SPECIFIED, BUT ALLEGED OVER \$5,000.)
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:	05/23/2012
Complaint Pending?	No
Status:	Settled



Status Date: 08/27/2012

Settlement Amount: \$13,500.00

Individual Contribution Amount: \$0.00

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC

Allegations: CLIENT CLAIMS FA ADVISED HER SHE WOULD NOT HAVE TO PAY ANY FEES; AND CLIENT ALSO CLAIMS DUE TO FA'S ADVICE SHE INCURRED TAX LIABILITY. (DAMAGES NOT SPECIFIED, BUT ALLEGED OVER \$5,000.) (04/12/2010-04/30/2012)

Product Type: Other: SELF DIRECTED FEE BASED ACCOUNTS(NON-MANAGED)

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): (DAMAGES NOT SPECIFIED, BUT ALLEGED OVER \$5,000.)

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: 05/23/2012

Complaint Pending? No

Status: Settled

Status Date: 08/27/2012

Settlement Amount: \$13,500.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: CLIENT ALLEGES INVESTMENTS WERE NOT SUITABLE BASED ON HIS AGE - 2/2009-3/2009. DAMAGES UNSPECIFIED.

Product Type: Debt-Government
Other: STRUCTURED PRODUCT

Alleged Damages: \$0.00

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: 05/27/2009

Complaint Pending? No

Status: Denied

Status Date: 10/05/2009

Settlement Amount:

Individual Contribution
Amount:

Broker Statement CLAIM DENIED

Disclosure 3 of 5

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: CITIGROUP GLOBAL MARKETS, INC.

Allegations: CLIENT ALLEGED THAT THE PURCHASE OF A MUTUAL FUND WAS
MISRPRESENTED. 2007. DAMAGES UNSPECIFIED.

Product Type: Mutual Fund

Alleged Damages: \$0.00

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: 09/24/2008

Complaint Pending? No

Status: Denied

Status Date: 08/26/2009

Settlement Amount:

Individual Contribution
Amount:

Broker Statement CLAIM DENIED.

Disclosure 4 of 5

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: CGMI



Allegations: DEFENDANT FAILED TO FOLLOW CLIENT'S DIRECTIONS (OPEN SIX MONTH ACCOUNTS, WITHOUT PLAYING STOKCS), EXHIBITED DECEIT, MISREPRESENTED FACTS, CONCEALED TRUTH AND IGNORED CLIENT'S REQUEST IN OPENING ACCOUNTS.

Product Type: No Product

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 09/03/2008

Complaint Pending? No

Status: Litigation

Status Date: 09/03/2008

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: SMCA 08S00988

Date Notice/Process Served: 09/03/2008

Litigation Pending? No

Disposition: Settled

Disposition Date: 09/25/2008

Monetary Compensation Amount: \$350.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WM FINANCIAL SERVICES, INC.

Allegations: CLIENT'S SON IN LAW ALLEGES THAT THE INVESTMENT IS NOT SUITABLE BASED ON AGE, HEALTH AND FINANCES.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$31,520.20

Customer Complaint Information

Date Complaint Received: 12/30/2005

Complaint Pending? No

Status: Closed/No Action

Status Date: 09/12/2006

Settlement Amount:



Individual Contribution Amount:

Firm Statement

CLIENT WAS ABLE TO SURRENDER VARIABLE ANNUITY AND RECEIVED BACK MORE THAN PRINCIPAL AMOUNT INVESTED.

.....

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

WM FINANCIAL SERVICES, INC.

Allegations:

CLIENT'S SON IN LAW ALLEGES THAT THE INVESTMENT IS NOT SUITABLE BASED ON AGE, HEALTH, AND FINANCES.

Product Type:

Annuity(ies) - Variable

Alleged Damages:

\$31,520.20

Customer Complaint Information

Date Complaint Received:

12/30/2005

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

09/12/2006

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CLIENT WAS ABLE TO SURRENDER VARIABLE ANNUITY AND RECEIVED BACK MORE THAN PRINCIPAL AMOUNT INVESTED.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	TAX COLLECTOR
Judgment/Lien Amount:	\$1,013.00
Judgment/Lien Type:	Tax
Date Filed with Court:	04/23/2013
Date Individual Learned:	10/17/2016
Type of Court:	State Court
Name of Court:	RECORDERS OFFICE
Location of Court:	NORWALK, CA
Docket/Case #:	13-0602045
Judgment/Lien Outstanding?	Yes



End of Report

This page is intentionally left blank.