



## IAPD Report

# RICHARD SCOTT EWING

CRD# 3189321

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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

### RICHARD SCOTT EWING (CRD# 3189321)

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 **05/04/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/05/2009
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/05/2009

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **36** 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 ADVISOR SERVICES, INC.	5979	PALM BEACH GARDENS, FL	08/01/2005 - 10/05/2009
<b>B</b>	AMERIPRISE ADVISOR SERVICES, INC.	5979	PALM BEACH GARDENS, FL	07/29/2005 - 10/05/2009
<b>IA</b>	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	WEST PALM BEACH, FL	03/12/2001 - 08/04/2005

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	4



## 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 **36** 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	10/05/2009
<b>B</b>	Alabama	Agent	Approved	11/10/2016
<b>B</b>	Arizona	Agent	Approved	12/14/2009
<b>B</b>	California	Agent	Approved	10/05/2009
<b>B</b>	Colorado	Agent	Approved	03/24/2021
<b>B</b>	Connecticut	Agent	Approved	10/17/2012
<b>B</b>	Delaware	Agent	Approved	01/07/2026
<b>B</b>	Florida	Agent	Approved	10/05/2009
<b>IA</b>	Florida	Investment Adviser Representative	Approved	10/05/2009
<b>B</b>	Georgia	Agent	Approved	10/05/2009
<b>B</b>	Idaho	Agent	Approved	01/27/2023
<b>B</b>	Illinois	Agent	Approved	06/28/2012
<b>B</b>	Louisiana	Agent	Approved	01/22/2013



### Qualifications

Regulator	Registration	Status	Date
B Maine	Agent	Approved	10/14/2016
B Maryland	Agent	Approved	01/22/2013
B Massachusetts	Agent	Approved	10/23/2012
B Michigan	Agent	Approved	09/05/2024
B Minnesota	Agent	Approved	10/17/2012
B Missouri	Agent	Approved	01/29/2025
B New Hampshire	Agent	Approved	05/19/2025
B New Jersey	Agent	Approved	10/05/2009
B New Mexico	Agent	Approved	03/09/2026
B New York	Agent	Approved	10/05/2009
B North Carolina	Agent	Approved	03/08/2012
B Ohio	Agent	Approved	01/08/2026
B Oregon	Agent	Approved	07/21/2024
B Pennsylvania	Agent	Approved	10/05/2009
B Rhode Island	Agent	Approved	07/22/2024
B South Carolina	Agent	Approved	10/05/2009
B Tennessee	Agent	Approved	09/10/2021
B Texas	Agent	Approved	10/05/2009
IA Texas	Investment Adviser Representative	Restricted Approval	10/05/2009



### Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	04/05/2012
B Virgin Islands	Agent	Approved	01/16/2014
B Virginia	Agent	Approved	10/05/2009
IA Virginia	Investment Adviser Representative	Approved	04/05/2012
B Washington	Agent	Approved	10/17/2012
B West Virginia	Agent	Approved	02/06/2023
B Wisconsin	Agent	Approved	04/30/2012
B Wyoming	Agent	Approved	05/31/2017

### Branch Office Locations

**AMERIPRISE FINANCIAL SERVICES, LLC**  
3801 PGA Blvd Ste 500  
PALM BEACH GARDENS, FL 33410

**AMERIPRISE FINANCIAL SERVICES, LLC**  
Tequesta, FL



## 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, 3 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	01/22/2006
General Securities Representative Examination (S7)	Series 7	07/06/1999

#### State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	04/06/2001
Uniform Securities Agent State Law Examination (S63)	Series 63	07/08/1999

### 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	08/01/2005 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	PALM BEACH GARDEN:
B	07/29/2005 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	PALM BEACH GARDEN:
IA	03/12/2001 - 08/04/2005	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	WEST PALM BEACH, FL
B	03/06/2001 - 08/04/2005	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	07/07/1999 - 02/21/2001	EDWARD JONES	CRD# 250	ST. LOUIS, MO

### 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	Palm Beach Gardens, FL, United States
10/2009 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Palm Beach Gardens, FL, United States
10/2009 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Palm Beach Gardens, 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.

Real Estate Ownership; Commercial; 13095 Bryan Rd, , Loxahatchee Groves, FL, 33470; Not Investment-Related; 06/21/2022 / Lot/Land; Ranchland Road, , Hobe Sound, FL, 33455; Not Investment-Related; 03/01/2023. Independent Insurance Brokering; United of Omaha; 08/18/2023; Fixed Annuity / American National; 08/18/2023; Fixed Annuity. Business Ownership; Seaside Greenery LLC AKA PRA Orchids; Business management; Interior Landscaping and Orchids; 17276 SE Galway Ct., , Tequesta, FL, 33469; Not Investment-Related; 11/01/2020; 10 to 19 hours per month; 0 during trading hours.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	4

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	New Hampshire
<b>Sanction(s) Sought:</b>	Monetary Penalty other than Fines Restitution
<b>Date Initiated:</b>	06/16/2016
<b>Docket/Case Number:</b>	COM2015-0001
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Ameriprise Financial Services Inc. CRD#6363
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Ewing gave investment advice to one NH resident part of the year while that client was here in NH and Ewing was not licensed here.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<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>	06/16/2016



<b>Sanctions Ordered:</b>	Monetary Penalty other than Fines Restitution
<b>Monetary Sanction 1 of 4</b>	
<b>Monetary Related Sanction:</b>	Restitution
<b>Total Amount:</b>	\$46,257.61
<b>Portion Levied against individual:</b>	\$46,257.61
<b>Payment Plan:</b>	no
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	06/16/2016
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Monetary Sanction 2 of 4</b>	
<b>Monetary Related Sanction:</b>	Monetary Penalty other than Fines
<b>Total Amount:</b>	\$800.00
<b>Portion Levied against individual:</b>	\$800.00
<b>Payment Plan:</b>	no
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	06/16/2016
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Monetary Sanction 3 of 4</b>	
<b>Monetary Related Sanction:</b>	Monetary Penalty other than Fines
<b>Total Amount:</b>	\$15,000.00
<b>Portion Levied against individual:</b>	\$15,000.00
<b>Payment Plan:</b>	no
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	06/16/2016
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Monetary Sanction 4 of 4</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$15,000.00
<b>Portion Levied against individual:</b>	\$15,000.00



**Payment Plan:** no

**Is Payment Plan Current:**

**Date Paid by individual:** 06/16/2016

**Was any portion of penalty waived?** No

**Amount Waived:**

.....

**Reporting Source:** Individual

**Regulatory Action Initiated By:** New Hampshire

**Sanction(s) Sought:** Monetary Penalty other than Fines  
Restitution

**Date Initiated:** 06/16/2016

**Docket/Case Number:** COM2015-0001

**Employing firm when activity occurred which led to the regulatory action:** Ameriprise Financial Services, Inc. CRD #6363

**Product Type:** No Product

**Allegations:** Ewing gave investment advice to one NH resident part of the year while that client was here in NH and Ewing was not licensed here.

**Current Status:** Final

**Resolution:** 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:** 06/16/2016

**Sanctions Ordered:** Monetary Penalty other than Fines  
Restitution

**Monetary Sanction 1 of 4**

**Monetary Related Sanction:** Restitution

**Total Amount:** \$46,257.61

**Portion Levied against individual:** \$46,257.61

**Payment Plan:** no

**Is Payment Plan Current:**

**Date Paid by individual:** 06/16/2016

**Was any portion of penalty waived?** No



**Amount Waived:**

**Monetary Sanction 2 of 4**

**Monetary Related Sanction:** Monetary Penalty other than Fines

**Total Amount:** \$800.00

**Portion Levied against individual:** \$800.00

**Payment Plan:** no

**Is Payment Plan Current:**

**Date Paid by individual:** 06/16/2016

**Was any portion of penalty waived?** No

**Amount Waived:**

**Monetary Sanction 3 of 4**

**Monetary Related Sanction:** Monetary Penalty other than Fines

**Total Amount:** \$15,000.00

**Portion Levied against individual:** \$15,000.00

**Payment Plan:** no

**Is Payment Plan Current:**

**Date Paid by individual:** 06/16/2016

**Was any portion of penalty waived?** No

**Amount Waived:**

**Monetary Sanction 4 of 4**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$15,000.00

**Portion Levied against individual:** \$15,000.00

**Payment Plan:** no

**Is Payment Plan Current:**

**Date Paid by individual:** 06/16/2016

**Was any portion of penalty waived?** No

**Amount Waived:**

**Disclosure 2 of 2**

**Reporting Source:** Individual

**Regulatory Action Initiated By:** FLORIDA DEPARTMENT OF FINANCIAL SERVICES

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



<b>Date Initiated:</b>	07/16/2007
<b>Docket/Case Number:</b>	736464
<b>Employing firm when activity occurred which led to the regulatory action:</b>	H&R BLOCK FINANCIAL ADVISORS, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	DID NOT COMPLY WITH CONTINUING EDUCATION REQUIREMENTS REQUIRED BY SECTINO 626.2815 AND FLORIDA ADMINISTRATIVE CODE RULE 69B-228.220 FOR THE SUBJECT COMPLIANCE PERIOD BY EARNING THE NECESSARY HOURS TO FULFILL SUBJECT REQUIREMENTS. CREDIT HOURS MUST BE EARNED WITHIN 120 DAYS OF ISSUANCE OF CONSENT ORDER.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent
<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>	08/09/2007
<b>Sanctions Ordered:</b>	Other: COMPLY WITH REQUIREMENTS OF FLORIDA STATUTE SECTION 626.2815 AND FLORIDA ADMINISTRATIVE CODE RULE 69B-228.220 FOR THE SUBJECT COMPLIANCE PERIOD BY EARNING THE NECESSARY CREDIT HOURS TO FULFILL SUBJECT REQUIREMENTS. CREDIT HOURS MUST BE EARNED 120 DAYS OF ISSUANCE OF CONSENT ORDER.
<b>Broker Statement</b>	FINE OF \$250 ASSESSED AND PAID ON OR ABOUT 08/13/2007. COMPLETED AND SATISFIED CONTINUING EDUCATION REQUIREMENTS.



## 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 4

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Ameriprise Financial Services, Inc.
<b>Allegations:</b>	The client alleged a variable annuity purchase made in July 2015 was unsuitable.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$38,652.99
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

## Customer Complaint Information

<b>Date Complaint Received:</b>	08/30/2018
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	09/21/2018
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

### Disclosure 2 of 4

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Ameriprise Financial Services, Inc.
<b>Allegations:</b>	Claimants allege unsuitable investments, misrepresentations, excess fees, breach of fiduciary duty, failure to register with the state of New Hampshire, violations of federal and state securities laws, and obtaining signatures on blank forms and seek damages of at least \$300,000. Timeframe for conduct: January 2009 - October 2014.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock) Mutual Fund
<b>Alleged Damages:</b>	\$300,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No



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

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

**Docket/Case #:** 16-02084

**Filing date of arbitration/CFTC reparation or civil litigation:** 06/30/2016

**Customer Complaint Information**

**Date Complaint Received:** 06/30/2016

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 12/22/2017

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Arbitration Information**

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 15-00306

**Date Notice/Process Served:** 05/04/2015

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/17/2015

**Monetary Compensation Amount:** \$52,500.00

**Individual Contribution Amount:** \$52,500.00

**Broker Statement** FINRA arbitration #15-00306 reached a private settlement on December 17, 2015. The terms of that settlement were disputed. As a result, arbitration #16-02084 was filed June 30, 2016. By award dated 12/22/2017, a FINRA arbitration panel dismissed all claims against Ameriprise Financial Services, Inc.

**Disclosure 3 of 4**

**Reporting Source:** Individual

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

**Allegations:** THE CLIENT ALLEGED THE VARIABLE ANNUITY WAS NOT SUITABLE AT THE TIME OF SALE IN 2007.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$6,930.00



**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:** 04/09/2010

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/09/2010

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement** THE FIRM FOUND THE ANNUITY APPEARED TO ALIGN WITH THE CLIENTS GOALS.

### Disclosure 4 of 4

**Reporting Source:** Individual

**Employing firm when  
activities occurred which led  
to the complaint:** H&R BLOCK FINANCIAL ADVISORS, INC.

**Allegations:** CUSTOMER ALLEGES HE WAS GUARANTEED OVER A SEVEN PERCENT RETURN ON INVESTMENTS. THE TIME PERIOD IS MAY 2008 THROUGH AUGUST 15, 2008.

**Product Type:** Other

**Other Product Type(s):** CLOSED END FUNDS

**Alleged Damages:** \$39,510.19

### Customer Complaint Information

**Date Complaint Received:** 09/16/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/08/2008

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement** THE FIRM REVIEWED THE ALLEGATIONS AND DETERMINED THEY WERE WITHOUT MERIT.



## End of Report

This page is intentionally left blank.