IAPD Report

JOHN RAYMOND LENARZ

CRD# 4059696

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

JOHN RAYMOND LENARZ (CRD# 4059696)

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 **05/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	05/08/2019
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	05/09/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	KINGSVIEW ASSET MANAGEMENT, LLC	148107	BISMARCK, ND	04/16/2019 - 05/08/2019
B	WELLS FARGO CLEARING SERVICES, LLC	19616	BISMARCK, ND	01/03/2011 - 04/11/2019
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	BISMARCK, ND	01/03/2011 - 04/11/2019

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	2
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 **12** 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 Representative	Approved	05/09/2019
B	Arizona	Agent	Approved	08/09/2019
B	Colorado	Agent	Approved	09/12/2019
B	Florida	Agent	Approved	02/17/2022
B	Idaho	Agent	Approved	05/21/2021
B	Minnesota	Agent	Approved	07/11/2019
IA	Minnesota	Investment Adviser Representative	Approved	07/10/2024
B	Montana	Agent	Approved	07/24/2019
B	Nebraska	Agent	Approved	06/12/2019
B	New Hampshire	Agent	Approved	07/29/2024
B	North Dakota	Agent	Approved	06/17/2019
IA	North Dakota	Investment Adviser Representative	Approved	06/17/2019
B	South Dakota	Agent	Approved	05/13/2026

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	09/12/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	05/08/2019
B	Wyoming	Agent	Approved	01/17/2025

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
125 Buckskin Ave Ste 200
Bismarck, ND 58503

AMERIPRISE FINANCIAL SERVICES, LLC
Brandon, MN

AMERIPRISE FINANCIAL SERVICES, LLC
Bismarck, ND

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	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/27/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/15/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/29/1999

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	04/16/2019 - 05/08/2019	KINGSVIEW ASSET MANAGEMENT, LLC	CRD# 148107	BISMARCK, ND
B	01/03/2011 - 04/11/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	BISMARCK, ND
IA	01/03/2011 - 04/11/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	BISMARCK, ND
IA	04/09/2002 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	WAHPETON, ND
B	08/17/2001 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	WAHPETON, ND
B	01/02/2000 - 08/17/2001	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	Bismarck, ND, United States
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	WAHPETON, ND, United States
05/2019 - 03/2020	Ameriprise Financial Services Inc	REGISTERED REP	Y	Bismarck, ND, United States
03/2019 - 05/2019	KINGSVIEW ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	GRANTS PASS, OR, United States
03/2019 - 05/2019	KINGSVIEW ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	BISMARCK, ND, United States
08/2001 - 03/2019	WELLS FARGO ADVISORS	FINANCIAL ADVISOR	Y	ST LOUIS, MO, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	WAHPETON, ND, 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.

Business Ownership; Lenarz Brothers Land LLP; Owner and responsible for lending, banking, and tax filing; farmland ownership; 3507 Valley DrBimsarck, ND 58503, ,; Not Investment-Related; 01/01/2019; 1 to 9 hours per month; 0 during trading hours / Lenarz Brothers Partnership II; Manage banking and grain sales for the partnership; Cropland farming, real estate ownership, trade grain futures with RJ Obrien,; 3507 Valley Dr, , Bismarck, ND, 58503; Investment-Related; 01/01/2013; 1 to 9 hours per month; 0 during trading hours / John R Lenarz Family Revocable Trust; Own/operate farm cropland; Farm cropland raising corn and soybean commodities; 3507 Valley Dr, , Bismarck, ND, 58503; Not Investment-Related; 09/01/2020; 1 to 9 hours per month; 1 to 9 during trading hours / Suchy Land LLC; Roth IRA Real Estate ownership; Owner/operator of crop farmland in MN, ND; 3507 Valley Dr, , Bismarck, ND, 58503; Investment-Related; 01/01/2018; 1 to 9 hours per month; 0 during trading hours / Leah Land LLC; Operate the business, invest in private equity investments; rental farmland ownership, 450 shares SpaceX and Open AI private placement through Sand Hill Road Technology Fund, Holds Ameriprise brokerage account.; 10947 County Hwy 87 NW, , Brandon, MN, 56315; Not Investment-Related; 11/20/2020; 1 to 9 hours per month; 0 during trading hours / Leaf Mountain, LLC; Owner; Manage Ameriprise Business; 3507 Valley Dr, , Bismarck, ND, 58503; Investment-Related; 05/01/2026; 60 hours per month; 60 during trading hours. Fiduciary Activities; Executor. Outside Employment; LFP Consulting; Employee - employee; Entity for payroll and benefits.; 125 Buckskin Ave, Suite 200, Bismarck, ND, 58503; Investment-Related; 02/18/2020; 60 hours per month; 60 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	2
Termination	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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors, LLC
Allegations:	Client alleged he was assured his investments were safe, but they declined in value. (7/21/2012-7/21/2015)
Product Type:	Mutual Fund
Alleged Damages:	$30,000.00
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:	07/21/2015
Complaint Pending?	No
Status:	Denied
Status Date:	08/10/2015
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS, LLC.
Allegations:	THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008. ACTIVITY DATE(S): 12/12/2007
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	GOOD FAITH DETERMINATION THAT COMPENSATORY DAMAGES WERE LESS THAN $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:	12/24/2008
Complaint Pending?	No
Status:	Settled
Status Date:	03/04/2010
Settlement Amount:	$50,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE FIRM REPURCHASED THE ARS SECURITIES AT ISSUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A TRADITIONAL SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE. THE NAMED REPRESENTATIVE: WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND REGULATORS; THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT; AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.

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:	Firm
Firm Name:	Wells Fargo Clearing Services, LLC.
Termination Type:	Discharged
Termination Date:	03/26/2019
Allegations:	A review concluded that Mr. Lenarz failed to follow policy regarding a trade order error and attempted to prevent the client who directed the trade from complaining.
Product Type:	Equity Listed (Common & Preferred Stock)

Reporting Source:	Individual
Firm Name:	Wells Fargo Clearing Services, LLC.
Termination Type:	Discharged
Termination Date:	03/26/2019
Allegations:	A review concluded that Mr. Lenarz failed to follow policy regarding a trade order error and attempted to prevent the client who directed the trade from complaining.
Product Type:	Equity Listed (Common & Preferred Stock)

End of Report

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