



IAPD Report

Christopher Thomas Reid

CRD# 4280132

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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

Christopher Thomas Reid (CRD# 4280132)

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 **03/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/04/2021
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/04/2021

QUALIFICATIONS

This representative is currently registered in **1** 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	ROYAL ALLIANCE ASSOCIATES, INC.	23131	TROY, MI	01/03/2012 - 01/07/2021
B	ROYAL ALLIANCE ASSOCIATES, INC.	23131	TROY, MI	10/31/2011 - 01/07/2021
IA	LEONARD AND COMPANY	36527	TROY, MI	01/26/2010 - 10/31/2011

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	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 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	01/04/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	01/04/2021
B	Michigan	Agent	Approved	01/04/2021
IA	Michigan	Investment Adviser Representative	Approved	01/05/2021

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
Commerce Twp, MI

AMERIPRISE FINANCIAL SERVICES, LLC
2601 Cambridge Ct Ste 120
Auburn Hills, MI 48326-2577



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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	01/02/2002
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/03/2000

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/21/2009
B Uniform Securities Agent State Law Examination (S63)	Series 63	10/16/2000

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	01/03/2012 - 01/07/2021	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	TROY, MI
B	10/31/2011 - 01/07/2021	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	TROY, MI
IA	01/26/2010 - 10/31/2011	LEONARD AND COMPANY	CRD# 36527	TROY, MI
B	10/08/2008 - 10/31/2011	LEONARD & COMPANY	CRD# 36527	TROY, MI
B	10/04/2000 - 10/08/2008	HANTZ FINANCIAL SERVICES, INC.	CRD# 46047	SHELBY TOWNSHIP, MI

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
01/2021 - Present	Ameriprise Financial Services, LLC.	Registered Rep	Y	Novi, MI, United States
10/2011 - 01/2021	ROYAL ALLIANCE & ASSOCIATES	REGISTERED REP	Y	LIVONIA, MI, 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.

Independent Insurance Brokering; GUARDIAN INSURANCE; 07/20/2016; Disability Income. Business Ownership; Blumark Tax Advisors LLC; Director and tax professional. Prepare and review income tax work.; Tax Preparation; 6915 Rochester Rd Suite 340, , Troy, MI, 48085; Not Investment-Related; 11/30/2015; 60 hours per month; 60 during trading hours / Blumark Financial Advisors LLC; Co-owner; Manage Ameriprise Business; 2601 Cambridge Ct, Suite 120, Auburn Hills, MI, 48326; Investment-Related; 07/20/2016; 60 hours per month; 60 during trading hours. Outside Employment; Blumark Tax Advisors LLC; Partner - Manage the tax practice. Prepare and review tax returns.; Tax Preparation; 2601 Cambridge Ct, Suite 120, Auburn Hills, MI, 48326; Not Investment-Related; 11/30/2015; 60 hours per month; 60 during trading hours / Blumark Financial Advisors LLC; Owner; Manage advisory business; 2601 Cambridge Ct, Suite 120, Auburn Hills, MI, 48326; Investment-Related; 07/20/2016; 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
Regulatory Event	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/27/2012
Docket/Case Number:	2011025852102
Employing firm when activity occurred which led to the regulatory action:	LEONARD & COMPANY
Product Type:	Other: INVERSE FLOATER COLLATERALIZED MORTGAGE OBLIGATIONS
Allegations:	FINRA RULE 2010, NASD RULE 2510 - CHRISTOPHER REID USED DISCRETION TO BUY AND SELL INVERSE FLOATER COLLATERALIZED MORTGAGE OBLIGATIONS ON BEHALF OF HIS CUSTOMERS, WITHOUT PRIOR WRITTEN AUTHORIZATION FROM THEM TO EXERCISE DISCRETION AND PRIOR WRITTEN ACCEPTANCE OF THEIR ACCOUNTS AS DISCRETIONARY FROM HIS FIRM. ALTHOUGH REID'S FIRM PERMITTED DISCRETIONARY TRADING, HE WAS REQUIRED BY HIS FIRM'S WRITTEN SUPERVISORY PROCEDURES TO OBTAIN PRIOR WRITTEN APPROVAL FROM THE FIRM'S EXECUTIVE COMMITTEE BEFORE ENGAGING IN ANY DISCRETIONARY TRADING ACTIVITIES.
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:

12/27/2012

Sanctions Ordered:

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

No

(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: ANY CAPACITY
Duration: 15 BUSINESS DAYS
Start Date: 02/04/2013
End Date: 02/25/2013

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$7,500.00
Portion Levied against individual: \$7,500.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 01/13/2014
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, REID CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$7,500 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 15 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM FEBRUARY 4, 2013 THROUGH FEBRUARY 25, 2013.

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 12/27/2012



Docket/Case Number: [2011025852102](#)

Employing firm when activity occurred which led to the regulatory action: LEONARD & COMPANY

Product Type: Other: WITHOUT ADMITTING OR DENYING THE FINDINGS, REID CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE

Allegations: FINRA RULE 2010, NASD RULE 2510 - CHRISTOPHER REID USED DISCRETION TO BUY AND SELL INVERSE FLOATER COLLATERALIZED MORTGAGE OBLIGATIONS ON BEHALF OF HIS CUSTOMERS, WITHOUT PRIOR WRITTEN AUTHORIZATION FROM THEM TO EXERCISE DISCRETION AND PRIOR WRITTEN ACCEPTANCE OF THEIR ACCOUNTS AS DISCRETIONARY FROM HIS FIRM. ALTHOUGH REID'S FIRM PERMITTED DISCRETIONARY TRADING, HE WAS REQUIRED BY HIS FIRM'S WRITTEN SUPERVISORY PROCEDURES TO OBTAIN PRIOR WRITTEN APPROVAL FROM THE FIRM'S EXECUTIVE COMMITTEE BEFORE ENGAGING IN ANY DISCRETIONARY TRADING ACTIVITIES.

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: 12/27/2012

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ANY CAPACITY

Duration: 15 BUSINESS DAYS

Start Date: 02/04/2013

End Date: 02/25/2013

Monetary Sanction 1 of 1

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

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan: ADVISOR PAID \$1,875.00 ON 01/24/13, PAYMENT PLAN TO PAY \$500.00 A MONTH

Is Payment Plan Current: Yes

Date Paid by individual: 01/24/2013



Was any portion of penalty waived?

No

Amount Waived:

Broker Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, REID CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$7,500 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 15 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM FEBRUARY 4, 2013 THROUGH FEBRUARY 25, 2013.



End of Report

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