IAPD Report

JUSTIN ANDREW MONTANDON

CRD# 4455879

Section Title | **Page(s)**

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

JUSTIN ANDREW MONTANDON (CRD# 4455879)

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 **05/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	03/08/2002
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/02/2002

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	04/02/2002 - 07/03/2006

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
Customer Dispute	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 **31** 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	04/02/2002
B	Arizona	Agent	Approved	10/01/2025
B	Arkansas	Agent	Approved	07/08/2015
B	California	Agent	Approved	04/26/2018
B	Colorado	Agent	Approved	03/19/2003
B	Connecticut	Agent	Approved	02/08/2024
B	District of Columbia	Agent	Approved	04/25/2023
B	Florida	Agent	Approved	08/24/2016
B	Georgia	Agent	Approved	02/12/2024
B	Hawaii	Agent	Approved	10/02/2019
B	Idaho	Agent	Approved	04/07/2023
B	Illinois	Agent	Approved	01/23/2014
B	Indiana	Agent	Approved	07/08/2015

Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	07/12/2005
B	Maryland	Agent	Approved	10/20/2014
B	Massachusetts	Agent	Approved	05/26/2011
B	Michigan	Agent	Approved	07/08/2015
B	Minnesota	Agent	Approved	08/11/2025
B	Missouri	Agent	Approved	09/05/2013
B	New York	Agent	Approved	01/30/2014
B	North Carolina	Agent	Approved	04/27/2018
B	Ohio	Agent	Approved	03/20/2019
B	Oklahoma	Agent	Approved	05/07/2025
B	Oregon	Agent	Approved	07/21/2024
B	Pennsylvania	Agent	Approved	04/30/2025
B	Rhode Island	Agent	Approved	04/30/2024
B	South Carolina	Agent	Approved	03/27/2025
IA	Texas	Investment Adviser Representative	Approved	03/08/2002
B	Texas	Agent	Approved	04/18/2002
B	Utah	Agent	Approved	03/12/2026
B	Virginia	Agent	Approved	09/11/2018
B	Washington	Agent	Approved	03/26/2019

Qualifications

	Regulator	Registration	Status	Date
B	Wisconsin	Agent	Approved	12/04/2019

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
10415 Morado Cir
Ste 2-100
Austin, TX 78759

AMERIPRISE FINANCIAL SERVICES, LLC
Florence, TX

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 1 state securities law exam.

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	04/01/2002

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/17/2002

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	04/02/2002 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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	Austin, TX, United States
02/2002 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Austin, TX, 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.

Business Ownership; Montandon And Associates; ; Operations Management of staff; 10415 Morado Cirlce Avallon Building II, Suite 150 Austin, TX 78, 759,; Not Investment-Related; 12/03/2013; 1 to 9 hours per month; 1 to 9 during trading hours / Montandon Cattle Co; Owner; Cattle and livestock; 4081 cr 233, , Florence, TX, 76527; Not Investment-Related; 05/29/2025; 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
Regulatory Event	1
Customer Dispute	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:	Individual
Regulatory Action Initiated By:	Michigan Department of Insurance and Financial Services
Sanction(s) Sought:	Denial
Date Initiated:	04/20/2016
Docket/Case Number:	15-12719
Employing firm when activity occurred which led to the regulatory action:	Ameriprise Financial Services, Inc.
Product Type:	No Product
Allegations:	After applying for a non-resident insurance license on July 7, 2015, the Michigan Department of Insurance and Financial Services issued a notice of intent to deny the application due to allegedly providing misleading information on license application and due to a FINRA arbitration decision finding breach of fiduciary duty and breach of contract. The action was appealed and subsequently settled.
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:	04/20/2016
Sanctions Ordered:	Monetary Penalty other than Fines
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$250.00
Portion Levied against individual:	$250.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	03/31/2016
Was any portion of penalty waived?	No
Amount Waived:	

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC.
Allegations:	PLAINTIFFS ALLEGE THAT WHILE DECEASED PLAINTIFF WAS TERMINALLY ILL, RESPONDENTS ADVISED THEM TO PLACE $63,161.90 INTO DECEDENT'S EXISTING IDS LP PLUS POLICY IN ORDER TO RECEIVE A GUARANTEED 4% RETURN. PLAINTIFFS ALLEGE THAT RESPONDENTS FAILED TO DISCLOSE THAT IF PLAINTIFF DIED WITHIN THE FIRST YEAR THE CASH WAS IN THE POLICY, THEY WOULD ONLY RECEIVE THE FACE VALUE OF THE POLICY AND NOT THE ADDITIONAL $63,161.90. PLAINTIFFS ALLEGE INSURANCE CODE VIOLATIONS, DECEPTIVE TRADE OR PRACTICE VIOLATIONS, AND RESPONDANDEAT SUPERIOR. PLAINTIFFS REQUEST COMPENSATORY DAMAGES, EXEMPLARY DAMAGES, INTEREST, FEES, AND COSTS.
Product Type:	Insurance
Alleged Damages:	$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA - TX
Docket/Case #:	13-01087
Date Notice/Process Served:	05/23/2013
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	12/12/2014
Monetary Compensation Amount:	$137,709.45
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	250TH JUDICIAL DISTRICT COURT
Location of Court:	TRAVIS COUNTY, TX
Docket/Case #:	D1GN12003635
Date Notice/Process Served:	11/26/2012
Litigation Pending?	No

Disposition:	Other: COURT CASE TRANSFERRED TO FINRA ARBITRATION
Disposition Date:	05/23/2013
Broker Statement	THE COURT STAYED THE LITIGATION PENDING FINRA ARBITRATION. ON MAY 23, 2013, WE RECEIVED THE FINRA STATEMENT OF CLAIM. AFTER A HEARING ON THE MERITS, THE FINRA PANEL AWARDED CLAIMANT COMPENSATORY DAMAGES OF $53,688 PLUS INTEREST, ATTORNEY'S FEES AND COSTS FOR A TOTAL OF $137,709.45

End of Report

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