



IAPD Report

TRISTIN MICHELLE HOTALING

CRD# 4460606

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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

TRISTIN MICHELLE HOTALING (CRD# 4460606)

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 **04/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	09/30/2014
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/16/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	THE AYCO COMPANY,L.P.	106693	LATHAM, NY	01/19/2011 - 06/30/2014
B	MERCER ALLIED COMPANY, L.P.	37404	LATHAM, NY	12/21/2010 - 06/30/2014
IA	VALIC FINANCIAL ADVISORS, INC.	42803	LAKEWOOD, CO	09/07/2010 - 11/24/2010

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	1
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 **13** 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	09/30/2014
B	California	Agent	Approved	03/07/2019
B	Colorado	Agent	Approved	11/05/2015
B	Connecticut	Agent	Approved	10/01/2014
B	Florida	Agent	Approved	12/10/2014
B	Georgia	Agent	Approved	09/18/2025
B	Maine	Agent	Approved	10/21/2015
B	Michigan	Agent	Approved	06/07/2021
B	New Jersey	Agent	Approved	12/10/2014
B	New York	Agent	Approved	10/02/2014
IA	New York	Investment Adviser Representative	Approved	04/16/2021
B	North Carolina	Agent	Approved	02/21/2025
B	Ohio	Agent	Approved	05/05/2015



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	09/29/2022
IA Texas	Investment Adviser Representative	Restricted Approval	09/30/2022
B Vermont	Agent	Approved	10/03/2014

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
Ballston Lake, NY

AMERIPRISE FINANCIAL SERVICES, LLC
26 Century Hill Dr
Ste 302
Latham, NY 12110-2128



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
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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
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General Securities Representative Examination (S7)	Series 7	01/15/2002
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	02/01/2002
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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	01/19/2011 - 06/30/2014	THE AYCO COMPANY,L.P.	CRD# 106693	LATHAM, NY
B	12/21/2010 - 06/30/2014	MERCER ALLIED COMPANY, L.P.	CRD# 37404	LATHAM, NY
IA	09/07/2010 - 11/24/2010	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	LAKWOOD, CO
B	04/28/2010 - 11/24/2010	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	LAKWOOD, CO
IA	10/03/2006 - 09/03/2009	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	BOSTON, MA
B	01/16/2002 - 09/03/2009	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	BOSTON, MA
B	01/16/2002 - 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	Malta, NY, United States
09/2014 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Mechanicville, NY, 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; Single Family; 19 Church StreetLincoln, NH 03251, ,; Investment-Related; 11/01/2014 / Commercial; 60 Main Street Unit #1Plymouth, NH, ,; Investment-Related; 10/01/2008. Outside Employment; Yoga Instructor; Owner; I teach outdoor yoga classes in the summer months in the evenings after work. During the winter months I teach indoors at a studio on the weekends.; 2019 Maple Ave, , Charlton, NY, 12019; Not Investment-Related; 07/07/2023; 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
Customer Dispute	1
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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES INC
Allegations:	CLIENT ALLEGED VUL INVESTMENT IN FEBRUARY 2009 WAS NOT APPROPRIATE FOR HIS CIRCUMSTANCES.
Product Type:	Insurance
Alleged Damages:	\$7,416.71
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:	03/05/2010
Complaint Pending?	No
Status:	Settled
Status Date:	11/22/2010
Settlement Amount:	\$7,146.26
Individual Contribution Amount:	\$0.00



Firm Statement

THE FIRM FOUND THE ADVISOR RECOMMENDED AN APPROPRIATE VARIABLE LIFE INSURANCE POLICY BASED ON THE CLIENT'S STATED GOALS AND OBJECTIVES.
ALTHOUGH THE FIRM FOUND THE ADVISOR RECOMMENDED AN APPROPRIATE VARIABLE LIFE INSURANCE POLICY BASED ON THE CLIENT'S STATED GOALS AND OBJECTIVES, THE POLICY DEATH BENEFIT WAS RESET AT A LOWER LEVEL IN THE INTEREST OF GOOD CLIENT RELATIONS.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

AMERIPRISE FINANCIAL ADVISORS

Allegations:

CLIENT ALLEGED VUL INVESTMENT IN FEBRUARY 2009 WAS NOT APPROPRIATE FOR HIS CIRCUMSTANCES.

Product Type:

Insurance

Alleged Damages:

\$7,416.71

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:

03/05/2010

Complaint Pending?

No

Status:

Settled

Status Date:

11/22/2010

Settlement Amount:

\$7,146.26

Individual Contribution Amount:

\$0.00

Broker Statement

IT WAS MY UNDERSTANDING THAT THIS MATTER HAD BEEN CONCLUDED WHEN AMERIPRISE DENIED [CUSTOMER'S] COMPLAINT ON MAY 21, 2010, ON THE BASIS OF AMERIPRISE'S PUBLIC STATEMENT THAT I HAD RECOMMENDED AN APPROPRIATE VARIABLE LIFE INSURANCE POLICY BASED ON [CUSTOMER'S] STATED GOALS AND OBJECTIVES. HOWEVER, IT IS APPARENT THAT AMERIPRISE, WITHOUT MY KNOWLEDGE AND CONSENT, SUBSEQUENTLY SETTLED THE MATTER ON NOVEMBER 22, 2010, IN AN EFFORT TO MAINTAIN THE CLIENT RELATIONSHIP WITH [CUSTOMER'S] CURRENT AMERIPRISE FINANCIAL REPRESENTATIVE. I DID NOT CONTRIBUTE TO THIS SETTLEMENT IN ANY WAY, FINANCIAL OR OTHERWISE.



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: MERCER ALLIED COMPANY, L.P.

Termination Type: Discharged

Termination Date: 06/04/2014

Allegations: A CLIENT ASSIGNED TO MS. HOTALING SIGNED AN ACAT TRANSFER FORM IN ORDER TO TRANSFER A PORTION OF THE SECURITIES HELD IN AN ACCOUNT CUSTODIED WITH A THIRD PARTY BROKER TO A DISCRETIONARY ACCOUNT TO BE MANAGED BY MERCER'S AFFILIATE , THE AYCO COMPANY, UNDERSTANDING THAT A SECOND ACAT WOULD BE NEEDED TO TRANSFER THE REMAINING ASSETS IN THE THIRD PARTY ACCOUNT. MS. HOTALING ATTEMPTED TO SUBMIT THE SECOND ACAT TRANSFER FORM USING THE SIGNATURE PAGE FROM THE INITIAL ACAT TRANSFER FORM. THIS SECOND FORM WAS NOT ACCEPTED BY THE PROCESSING TEAM AT AYCO AND THE MATTER WAS ESCALATED. THE CLIENT LATER EXECUTED NEW ACAT PAPERWORK AND THE TRANSFER OF ASSETS WAS COMPLETED.

Product Type: No Product

Reporting Source: Individual

Firm Name: MERCER ALLIED COMPANY, L.P.

Termination Type: Discharged

Termination Date: 06/04/2014

Allegations: A CLIENT ASSIGNED TO MS. HOTALING SIGNED AN ACAT TRANSFER FORM IN ORDER TO TRANSFER A PORTION OF THE SECURITIES HELD IN AN ACCOUNT CUSTODIED WITH A THIRD PARTY BROKER TO A DISCRETIONARY ACCOUNT TO BE MANAGED BY MERCER'S AFFILIATE, THE AYCO COMPANY, UNDERSTANDING THAT A SECOND ACAT WOULD BE NEEDED TO TRANSFER THE REMAINING ASSETS IN THE THIRD PARTY ACCOUNT. MS. HOTALING ATTEMPTED TO SUBMIT THE SECOND ACAT TRANSFER FORM USING THE SIGNATURE PAGE FROM THE INITIAL ACAT TRANSFER FORM. THIS SECOND FORM WAS NOT ACCEPTED BY THE PROCESSING TEAM AT AYCO AND THE MATTER WAS ESCALATED. THE CLIENT LATER EXECUTED NEW ACAT PAPERWORK AND THE TRANSFER OF ASSETS WAS COMPLETED.

Product Type: No Product

Broker Statement MY CLIENT WHOM I COMPLETED THE PAPERWORK FOR WAS IN FULL UNDERSTANDING OF THE TRANSACTION AS I HAD EXPLAINED IT THOROUGHLY TO HIM ON THE PHONE AND HE CONFIRMED THAT HE WANTED IT TO BE COMPLETED. DUE OF THE SIZE OF THE SECURITY HOLDINGS HE WANTED TO TRANSFER FOR THIS SINGLE REQUEST, TWO ACAT FORMS WERE NECESSARY TO TRANSFER IN KIND THE POSITIONS TO THE BROKERAGE ACCOUNT. BEING UNCERTAIN OF THE PAPERWORK PROCESSING BECAUSE THIS TASK IS NORMALLY COMPLETED BY MY



SUBORDINATE, I ASKED SOMEONE THAT I WORK WITH IF I COULD USE ONE SIGNATURE PAGE. I WAS TOLD THIS WAS FINE AND PROCEEDED. THERE WAS NO MALICIOUS INTENT, SIMPLY A HUMAN ERROR IN TRYING TO ASSIST MY CLIENT. I HAD NO PREVIOUS HISTORY OF PROBLEMS WITH COMPLIANCE IN MY 3.5 YEARS AT THE FIRM AND HAD RECEIVED NO WARNINGS FROM COMPLIANCE FOR ANY OTHER PURPOSE DURING MY TENURE. UPON REVIEW, FINRA COMPLETED AN INQUIRY REGARDING THESE CIRCUMSTANCES AND MADE A DETERMINATION TO CLOSE THE CASE WITH NO FURTHER ACTION.



End of Report

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