



IAPD Report

SURYA JOSHUA KANE METZLER

CRD# 4558292

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

i 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

SURYA JOSHUA KANE METZLER (CRD# 4558292)

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 **01/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	11/01/2011
IA	NEWPORT WEALTH ADVISORS, INC.	CRD# 137159	01/09/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	NEWPORT WEALTH ADVISORS, INC.	137159	NEWPORT BEACH, CA	01/26/2010 - 12/31/2017
B	CAPITAL GROWTH RESOURCES	7779	NEWPORT BEACH, CA	08/03/2007 - 11/02/2011
IA	OLMSTED ADVISORS, INC.	137159	NEWPORT BEACH, CA	06/19/2009 - 12/31/2009

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	10
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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CENTAURUS FINANCIAL, INC.**
Main Address: 2300 EAST KATELLA AVE
SUITE 200
ANAHEIM, CA 92806
Firm ID#: 30833

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	11/01/2011
B Arizona	Agent	Approved	12/15/2015
B California	Agent	Approved	11/01/2011
B Florida	Agent	Approved	03/03/2021
B Nevada	Agent	Approved	11/15/2011
B New York	Agent	Approved	02/18/2016
B North Carolina	Agent	Approved	12/16/2022
B Oregon	Agent	Approved	11/10/2022
B South Dakota	Agent	Approved	11/19/2025
B Texas	Agent	Approved	03/05/2019
B Washington	Agent	Approved	10/02/2015

Branch Office Locations

CENTAURUS FINANCIAL, INC.
4695 MACARTHUR COURT



Qualifications

SUITE 1100
NEWPORT BEACH, CA 92660

CENTAURUS FINANCIAL, INC.
100 E. SAN MARCOS BLVD.
SUITE #400
SAN MARCOS, CA 92069

Employment 2 of 2

Firm Name: **NEWPORT WEALTH ADVISORS, INC.**
Main Address: 4695 MACARTHUR COURT
11TH FLOOR
NEWPORT BEACH, CA 92660
Firm ID#: 137159

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	01/09/2018

Branch Office Locations

NEWPORT WEALTH ADVISORS, INC.
4695 MACARTHUR COURT
11TH FLOOR
NEWPORT BEACH, CA 92660



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
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

General Securities Representative Examination (S7)	Series 7	08/02/2002
--	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Combined State Law Examination (S66)	Series 66	08/19/2002
--	-----------	------------

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	01/26/2010 - 12/31/2017	NEWPORT WEALTH ADVISORS, INC.	CRD# 137159	NEWPORT BEACH, CA
B	08/03/2007 - 11/02/2011	CAPITAL GROWTH RESOURCES	CRD# 7779	NEWPORT BEACH, CA
IA	06/19/2009 - 12/31/2009	OLMSTED ADVISORS, INC.	CRD# 137159	NEWPORT BEACH, CA
IA	01/04/2008 - 12/31/2008	OLMSTED ADVISORS, INC.	CRD# 137159	NEWPORT BEACH, CA
IA	10/10/2007 - 12/31/2007	OLMSTED ADVISORS, INC.	CRD# 137159	NEWPORT BEACH, CA
IA	12/08/2006 - 08/02/2007	CROWELL, WEEDON & CO.	CRD# 193	IRVINE, CA
B	12/07/2006 - 08/02/2007	CROWELL, WEEDON & CO.	CRD# 193	IRVINE, CA
B	03/23/2006 - 12/07/2006	THE SEIDLER COMPANIES INCORPORATED	CRD# 3911	IRVINE, CA
IA	03/22/2006 - 12/07/2006	SEIDLER INVESTMENT ADVISORS INCORPORATED	CRD# 107778	IRVINE, CA
IA	08/27/2002 - 02/15/2006	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	IRVINE, CA
B	08/05/2002 - 02/15/2006	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN
B	08/05/2002 - 02/15/2006	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
11/2011 - Present	CENTAURUS FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	NEWPORT BEACH, CA, United States
05/2011 - Present	NEWPORT WEALTH ADVISORS	REGISTERED INVESTMENT ADVISOR	Y	NEWPORT BEACH, CA, 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.

1. THE SOCIETY FOR FINANCIAL AWARENESS, NON-INVESTMENT RELATED, 4695 MACARTHUR COURT, 11TH FLOOR, NEWPORT BEACH, CA 92660, NON-PROFIT ORGANIZATION, SINCE 1/1/2012, DEVOTED TIME IS 2 HRS A MONTH, SERVE AS A GUEST SPEAKER.

2. NEWPORT WEALTH ADVISORS-RIA- INVESTMENT ADVISOR/CFO-ADDRESS SAME AS BD. START DATE: OCT. 2007. (FORMERLY KNOWN AS OLMSTED ADVISORS, INC.) CURRENTLY DEVOTE APPROXIMATELY 100 HOURS PER MO. 40 HOURS DURING TRADING HOURS. DUTIES: FINANCIAL & INVESTMENT PLANNING. FEE BASED ASSET MGMT.

3. INDEPENDENT INSURANCE PRODUCTION-INSURANCE AGENT. ADDRESS SAME AS BD. DEVOTE APPROXIMATELY 15 HRS PER MONTH AND 3-4 HOURS PER MONTH DURING TRADING HOURS. DUTIES INCLUDE: NEEDS BASED ANALYSIS OF INSURANCE. HEALTH, LTC, DISABILITY & LIFE INSURANCE.

3. NEWPORT WEALTH ADVISORS

POSITION: Investment Advisor Representative NATURE: Comprehensive Financial Planning

Fee Based Asset Management INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 09/03/2007

ADDRESS: 4695 MacArthur Court, 11th Floor, Newport Beach CA 92660, United States

DESCRIPTION: Comprehensive Financial Planning

Fee Based Asset Management

4. DOUBLE PEAK FINANCIAL INC.

POSITION: President and CEO NATURE: This entity was solely set up for tax purposes. Business expenses and track my deductions cleaner as well as create a defined benefits plan for myself the sole "employee"

INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 11/05/2024

ADDRESS: 1182 Lauren Pl, San Marcos CA 92078, United States

DESCRIPTION: File annual forms with state and tax return.



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	10
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 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	The customer alleges that during the period of April 2016 through August of 2022, the Registered Representative recommended unsuitable, complex, illiquid investments.
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant does not allege a specific compensatory damage amount but rather seeks "Compensatory damages in an unspecified amount". As such, the Firm has made a good faith determination that the compensatory damages potentially exceed \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	25-01463



Filing date of arbitration/CFTC reparation or civil litigation: 07/18/2025

Customer Complaint Information

Date Complaint Received: 07/22/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement

I vehemently deny any wrongdoing and assert that the allegations are completely without merit. The investments about which the customer complained were suitable and in the customer's best interest and were recommended based on the customer's objectives, goals and financial circumstances and were offered only after her review of all material documentation related to the investment. The customer confirmed in writing that they not only received the requisite investment documentation/disclosures, but that she fully understood the characteristics and risks of the investments. At all times, I put the customer's interest first and I will vigorously defend this matter to the fullest extent of the law.

Disclosure 2 of 10

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTAURUS FINANCIAL, INC.

Allegations: The customer alleges that during the period of 2019 and 2021, the Registered Representative recommended unsuitable, high-risk, speculative, illiquid investments and breached his fiduciary duty.

Product Type: Debt-Corporate

Alleged Damages: \$95,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 23-03497

Filing date of arbitration/CFTC reparation or civil litigation: 12/13/2023

Customer Complaint Information

Date Complaint Received: 12/19/2023

Complaint Pending? No

Status: Settled

Status Date: 02/09/2024



Settlement Amount: \$29,800.00

Individual Contribution Amount: \$0.00

Broker Statement I vehemently denied any wrongdoing and assert that the customer's allegations were completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer, my broker/dealer unilaterally and without my agreement, settled with the customer, to which I made no monetary contribution.

Disclosure 3 of 10

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTAURUS FINANCIAL, INC.

Allegations: The customers allege that the Registered Representative recommended an unsuitable, high-risk and illiquid investment. No dates for the alleged activity were disclosed in the Statement of Claim.

Product Type: Debt-Corporate

Alleged Damages: \$145,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 22-01008

Filing date of arbitration/CFTC reparation or civil litigation: 07/18/2022

Customer Complaint Information

Date Complaint Received: 07/21/2022

Complaint Pending? No

Status: Settled

Status Date: 12/28/2023

Settlement Amount: \$67,025.41

Individual Contribution Amount: \$0.00

Broker Statement I vehemently denied any wrongdoing and assert that the customer's allegations were completely without merit. Notwithstanding, in an effort to avoid protracted proceedings, and the time and financial resources required, and in an effort to reach an expedited resolution with the customer's, my broker/dealer unilaterally and without my agreement, settled with the customer's, to which I made no monetary contribution.

**Disclosure 4 of 10**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CAPITAL GROWTH RESOURCES

Allegations: CLIENT ALLEGES THAT SHE WAS NOT SUITABLE FOR THE INVESTMENTS PURCHASED IN 2007-2008.

Product Type: Promissory Note
Other: EQUITY STOCK

Alleged Damages: \$10,000.00

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: 02/02/2015

Complaint Pending? No

Status: Settled

Status Date: 02/15/2015

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$10,000.00

Broker Statement "I CATEGORICALLY DENY THESE FALSE ALLEGATIONS. THE INVESTMENTS WERE SUITABLE AND IN PERFECT ACCORD WITH THE CLIENT'S FINANCIAL NEEDS AND INVESTMENT OBJECTIVES AT THE TIME OF THE INVESTMENT. MOREOVER, THE CLIENT WAS PROVIDED ALL OF THE NECESSARY DISCLOSURES, DOCUMENTS, AND UNDERSTOOD THE RISK FACTORS PRIOR TO INVESTING. WHILE I FIRMLY DENY THE ALLEGATIONS, I CHOSE TO SETTLE TO AVOID THE COST, TIME, AND OTHER HASSLES THAT WOULD HAVE BEEN INVOLVED IN A LONG, DRAWN OUT ARBITRATION. THE SETTLEMENT WAS CHEAPER IN BOTH TIME AND MONEY THAN I WOULD HAVE SPEND IN DEFENDING AGAINST THESE MERITLESS CLAIMS. THIS IS IN NO WAY AN ADMISSION OF GUILT."

Disclosure 5 of 10

Reporting Source: Firm

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

Allegations: THE CLIENT ALLEGED THE INLAND WESTERN REIT PURCHASE OF JANUARY 2005 WAS TOO RISKY.

Product Type: Real Estate Security

Alleged Damages: \$86,366.17

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: 06/21/2012

Complaint Pending? No

Status: Denied

Status Date: 09/21/2012

Settlement Amount:

Individual Contribution
Amount:
.....

Reporting Source: Individual

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

Allegations: THE CLIENT ALLEGED THE INLAND WESTERN REIT PURCHASE OF
JANUARY 2005 WAS TOO RISKY.

Product Type: Real Estate Security

Alleged Damages: \$86,366.17

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: 07/10/2012

Complaint Pending? No

Status: Denied

Status Date: 09/21/2012

Settlement Amount:

Individual Contribution
Amount:

Broker Statement REPRESENTATIVE CATEGORICALLY DENIES ANY WRONGDOING IN THIS
MATTER. THE INVESTMENT WAS APPROPRIATE WHEN IT WAS PURCHASED
SEVEN YEARS AGO BASED ON THE CLIENT'S FINANCIAL SITUATION,
LIQUIDITY NEEDS, INVESTMENT OBJECTIVE, INVESTMENT TIME HORIZON
AND RISK TOLERANCE LEVEL. THIS INVESTMENT MADE UP A SMALL
PORTION OF HIS OVERALL PORTFOLIO. THE CLIENT WAS FURNISHED
WITH A PROSPECTUS AS WELL AS ALL THE DISCLOSURE INFORMATION
ASSOCIATED WITH THIS INVESTMENT. THE CLIENT FULLY UNDERSTOOD
THE RISKS OF THIS INVESTMENT.



Disclosure 6 of 10

Reporting Source: Firm

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

Allegations: THE CLIENT ALLEGED HER SIGNATURE ON THE ANNUITY PRODUCT DISCLOSURE FORM SIGNED IN SEPTEMBER 2004 WAS FORGED.

Product Type: Annuity-Variable

Alleged Damages: \$5,943.09

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: 03/01/2011

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/16/2011

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES

Allegations: THE CLIENT ALLEGED HER SIGNATURE ON THE ANNUITY PRODUCT DISCLOSURE FORM SIGNED IN SEPTEMBER 2004 WAS FORGED.

Product Type: Annuity-Variable

Alleged Damages: \$5,943.09

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: 03/01/2011

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/16/2011

Settlement Amount:



Individual Contribution Amount:

Broker Statement

SURYA METZLER DENIES THE ALLEGATION THAT HE FORGED THE CLIENTS SIGNATURE. IN ADDITION, HE STATES THAT SHE WAS INFORMED AND UNDERSTOOD THE PRODUCT AND THE RISKS ASSOCIATED THERETO.

THIS MATTER IS REFERENCED IN DISCLOSURE # 1450650. THE ITEM IS REFLECTING THAT IT IS CLOSED. IN ADDITION, FINRA LOOKED INTO THE MATTER OF FORGERY AND CLOSED THEIR FILE WITH NO ACTION ON FEBRUARY 14, 2007.

Disclosure 7 of 10

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

AMERIPRISE FINANCIAL SERVICES INC

Allegations:

THE CLIENT ALLEGED AN ANNUITY APPLICATION AND RELATED FORMS DATED 9/23/04 DID NOT CONTAIN HIS AUTHENTIC SIGNATURE IN ADDITION TO A FINANCIAL ADVISORY SERVICE AGREEMENT DATED 8/5/04.

Product Type:

Annuity-Variable

Alleged Damages:

\$6,250.67

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:

04/20/2009

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

07/02/2009

Settlement Amount:

Individual Contribution Amount:

Firm Statement

A LETTER WITH AFFIDAVITS OF FACT FOR THE CLIENT TO SIGN TO VERIFY THE SIGNATURES AS UNAUTHENTIC WAS SENT TO THE CLIENT. THE CLIENT FAILED TO RETURN THE AFFIDAVITS. NO FURTHER ACTION TAKEN.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

AMERIPRISE FINANCIAL SERVICES, INC.

Allegations:

THE CLIENT ALLEGED AN ANNUITY APPLICATION AND RELATED FORMS DATED 09/23/2004 DID NOT CONTAIN HIS AUTHENTIC SIGNATURE IN ADDITION TO A FINANCIAL ADVISORY SERVICE AGREEMENT DATED 08/05/2004.



Product Type: Annuity-Variable

Alleged Damages: \$6,250.67

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: 04/20/2009

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/02/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE REPRESENTATIVE, SURYA METZLER, DENIES THE ALLEGATION. MR. METZLER STATED THAT HE HAS NOT FORGED ANY DOCUMENTS FOR THIS CUSTOMER OR ANY OTHER CUSTOMER. MR. METZLER WOULD LIKE AN OPPORTUNITY TO REFUTE THE ALLEGATION.

Disclosure 8 of 10

Reporting Source: Individual

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

Allegations: THE CLIENT ALLEGED SIGNATURES RELATED TO THE VARIABLE ANNUITY AND DISABILITY LIFE INSURANCE POLICY ARE FORGED. ADDITIONALLY, THE CLIENT STATED SHE DID NOT UNDERSTAND THE REQUIREMENTS AND PENALTIES AND DID NOT RECEIVE APPROPRIATE DISCLOSURE. LASTLY, THE CLIENT ALLEGED THE ANNUITY IRA WAS NOT IN HER BEST INTEREST. THE CLIENT REQUESTED A REFUND OF PREVIOUS SURRENDER CHARGE, REIMBURSEMENT FOR TAX PENALTIES, AND A WAIVER OF CURRENT SURRENDER CHARGES.

Product Type: Annuity(ies) - Variable

Other Product Type(s): DISABILITY LIFE INSURANCE

Alleged Damages: \$19,764.00

Customer Complaint Information

Date Complaint Received: 07/26/2006

Complaint Pending? No

Status: Closed/No Action

Status Date: 11/07/2006

Settlement Amount:

Individual Contribution Amount:

**Broker Statement**

MR. METZLER DENIES THE ALLEGATION OF FORGERY. ALL APPROPRIATE DISCLOSURES, INCLUDING SURRENDER, WERE DISCLOSED TO THE CLIENT. THE CLIENT SIGNED AN AFFIDAVIT OF FACT ATTESTING THE SIGNATURE ON THE ANNUITY APPLICATION SIGNED SEPTEMBER 27, 2004 WAS NOT HERS NOR DID SHE AUTHORIZE ANYONE TO SIGN ON HER BEHALF. THE CLIENT HAD PREVIOUSLY ALLEGED THE SIGNATURE ON THE DISABILITY INSURANCE POLICY ACKNOWLEDGEMENT OF RECEIPT DATED FEBRUARY 21, 2005 WAS NOT HER SIGNATURE. THE CLIENT WAS NOT FINANCIALLY HARMED AS A RESULT. THE FIRM FOUND THE ANNUITY WAS SUITABLE. THE ADVISOR STATED HE PROVIDED FULL AND FAIR DISCLOSURE, THE CLIENT STATED SHE DID NOT RECEIVE THE APPROPRIATE DISCLOSURE. THE FIRM OFFERED TO REFUND THE SURRENDER CHARGES ASSESSED ON THE PREVIOUS ANNUITY SURRENDER. THE CLIENT DID NOT ACCEPT THE FIRM'S OFFER.

Disclosure 9 of 10**Reporting Source:**

Firm

Employing firm when activities occurred which led to the complaint:

AMERIPRISE FINANCIAL SERVICES INC

Allegations:

THE CLIENT ALLEGED SIGNATURES RELATED TO THE VARIABLE ANNUITY AND DISABILITY LIFE INSURANCE POLICY ARE FORGED. ADDITIONALLY, THE CLIENT STATED SHE DID NOT UNDERSTAND THE REQUIREMENTS AND PENALTIES AND DID NOT RECEIVE APPROPRIATE DISCLOSURE. LASTLY, THE CLIENT ALLEGED THE ANNUITY IRA WAS NOT IN HER BEST INTEREST. THE CLIENT REQUESTED A REFUND OF PREVIOUS SURRENDER CHARGE, REIMBURSEMENT FOR TAX PENALTIES, AND A WAIVER OF CURRENT SURRENDER CHARGES.

Product Type:

Annuity(ies) - Variable

Other Product Type(s):

DISABILITY LIFE INSURANCE

Alleged Damages:

\$19,764.00

Customer Complaint Information**Date Complaint Received:**

07/26/2006

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

11/07/2006

Settlement Amount:**Individual Contribution Amount:****Firm Statement**

THE CLIENT SIGNED AN AFFIDAVIT OF FACT ATTESTING THE SIGNATURE ON THE ANNUITY APPLICATION SIGNED SEPTEMBER 27, 2004 WAS NOT HERS NOR DID SHE AUTHORIZE ANYONE TO SIGN ON HER BEHALF. THE CLIENT HAD PREVIOUSLY ALLEGED THE SIGNATURE ON THE DISABILITY INSURANCE POLICY ACKNOWLEDGEMENT OF RECEIPT DATED FEBRUARY 21, 2005 WAS NOT HER SIGNATURE. THE CLIENT WAS NOT FINANCIALLY HARMED AS A RESULT. THE FIRM FOUND THE ANNUITY WAS SUITABLE. THE ADVISOR STATED HE PROVIDED FULL AND FAIR DISCLOSURE, THE CLIENT STATED SHE DID NOT RECEIVE THE APPROPRIATE DISCLOSURE. THE FIRM OFFERED TO REFUND THE SURRENDER CHARGES ASSESSED



ON THE PREVIOUS ANNUITY SURRENDER. THE CLIENT DID NOT ACCEPT THE FIRM'S OFFER.

Reporting Source: Individual

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

Allegations: THE CLIENT ALLEGED SIGNATURES RELATED TO THE VARIABLE ANNUITY AND DISABILITY LIFE INSURANCE POLICY ARE FORGED. ADDITIONALLY, THE CLIENT STATED SHE DID NOT UNDERSTAND THE REQUIREMENTS AND PENALTIES AND DID NOT RECEIVE APPROPRIATE DISCLOSURE. LASTLY, THE CLIENT ALLEGED THE ANNUITY IRA WAS NOT IN HER BEST INTEREST. THE CLIENT REQUESTED A REFUND OF PREVIOUS SURRENDER CHARGE, REIMBURSEMENT FOR TAX PENALTIES, AND A WAIVER OF CURRENT SURRENDER CHARGES.

Product Type: Annuity(ies) - Variable

Other Product Type(s): DISABILITY LIFE INSURANCE

Alleged Damages: \$19,764.00

Customer Complaint Information

Date Complaint Received: 07/26/2006

Complaint Pending? No

Status: Closed/No Action

Status Date: 11/07/2006

Settlement Amount:

Individual Contribution Amount:

Broker Statement MR. METZLER DENIES THE ALLEGATION OF FORGERY. ALL APPROPRIATE DISCLOSURES, INCLUDING SURRENDER, WERE DISCLOSED TO THE CLIENT. THE CLIENT SIGNED AN AFFIDAVIT OF FACT ATTESTING THE SIGNATURE ON THE ANNUITY APPLICATION SIGNED SEPTEMBER 27, 2004 WAS NOT HERS NOR DID SHE AUTHORIZE ANYONE TO SIGN ON HER BEHALF. THE CLIENT HAD PREVIOUSLY ALLEGED THE SIGNATURE ON THE DISABILITY INSURANCE POLICY ACKNOWLEDGEMENT OF RECEIPT DATED FEBRUARY 21, 2005 WAS NOT HER SIGNATURE. THE CLIENT WAS NOT FINANCIALLY HARMED AS A RESULT. THE FIRM FOUND THE ANNUITY WAS SUITABLE. THE ADVISOR STATED HE PROVIDED FULL AND FAIR DISCLOSURE, THE CLIENT STATED SHE DID NOT RECEIVE THE APPROPRIATE DISCLOSURE. THE FIRM OFFERED TO REFUND THE SURRENDER CHARGES ASSESSED ON THE PREVIOUS ANNUITY SURRENDER. THE CLIENT DID NOT ACCEPT THE FIRM'S OFFER.

Disclosure 10 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES

Allegations: THE CLIENTS ALLEGED THE SIGNATURES ON TWO ACCOUNT DOCUMENTS



Product Type: WERE NOT THEIRS
Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 10/05/2005

Complaint Pending? No

Status: Settled

Status Date: 06/29/2006

Settlement Amount: \$4,689.97

Individual Contribution Amount: \$0.00

Firm Statement THE FIRM DETERMINED THE ADVISOR SIGNED THE TWO ACCOUNT APPLICATIONS IN ORDER TO EXPEDITE THE PROCESS. WE REFUNDED THE PLANNING FEE WITH INTEREST AND REFUNDED ALL FEES CHARGED INN THE WRAP ACCOUNT. WE SENT THE CLIENTS A LETTER WITH OUR FINDINGS.

Reporting Source: Individual

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

Allegations: THE CLIENTS ALLEGED THE SIGNATURES ON TWO ACCOUNT DOCUMENTS WERE NOT THEIRS.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 10/05/2005

Complaint Pending? No

Status: Settled

Status Date: 06/29/2006

Settlement Amount: \$4,689.97

Individual Contribution Amount: \$0.00



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:	Individual
Firm Name:	AMERIPRISE FINANCIAL SERVICES, INC.
Termination Type:	Discharged
Termination Date:	02/04/2006
Allegations:	DURING THE COURSE OF OUR INITIAL INVESTIGATION, SIGNATURE DISCREPANCIES WERE DISCOVERED DURING A RANDOM CLIENT FILE REVIEW. SUBSEQUENTLY, A CLIENT COMPLETED AN AFFIDAVIT OF FORGERY ON 10/21/2005.
Product Type:	No Product
Other Product Types:	
Broker Statement	THESE ALLEGATIONS ARE ABOLUTELY FALSE. I NEVER SIGNED ANY DOCUMENTS FOR MY CLIENT. SUBSEQUENTLY THE CLIENT WROTE THE NASD TO RETRACT THIS AFFIDAVIT STATING HE WAS PRESSURED INTO SIGNING IT. THE NASD HAS DROPPED THIS MATTER SHOWING IT HAD NO VALIDITY.



End of Report

This page is intentionally left blank.