



IAPD Report

TARA JEAN SHOWALTER

CRD# 4619096

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Information	8



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

TARA JEAN SHOWALTER (CRD# 4619096)

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 **03/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	05/31/2019
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/03/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	ESI FINANCIAL ADVISORS	265	JACKSONVILLE, FL	04/29/2016 - 06/04/2019
B	EQUITY SERVICES, INC.	265	JACKSONVILLE, FL	04/26/2016 - 06/04/2019
IA	SAGEPOINT FINANCIAL, INC.	133763	JACKSONVILLE, FL	10/01/2014 - 01/13/2016

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
Criminal	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 6 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	Corporate Securities Represent	Approved	05/31/2019
B FINRA	General Securities Principal	Approved	05/31/2019
B FINRA	General Securities Representative	Approved	05/31/2019
B FINRA	General Securities Sales Supervisor	Approved	05/31/2019
B Florida	Agent	Approved	05/31/2019
IA Florida	Investment Adviser Representative	Approved	06/03/2019
B Georgia	Agent	Approved	06/03/2019
B Nevada	Agent	Approved	03/17/2021
B New York	Agent	Approved	08/21/2025
B North Carolina	Agent	Approved	12/12/2025
B Wisconsin	Agent	Approved	06/19/2019

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
10 Florida Park Drive N
Ste D



Qualifications

PALM COAST, FL 32137

AMERIPRISE FINANCIAL SERVICES, LLC
Ponte Vedra Beach, FL

AMERIPRISE FINANCIAL SERVICES, LLC
6817 SOUTHPOINT PKWY
STE 1103
JACKSONVILLE, FL 32216

AMERIPRISE FINANCIAL SERVICES, LLC
3102 Sawgrass Village Circle
Ponte Vedra Beach, FL 32082-5037



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 3 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	03/26/2007
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/05/2007
General Securities Principal Examination (S24)	Series 24	06/05/2006

General Industry/Product Exams

Exam	Category	Date
Corporate Securities Limited Representative Examination (S62)	Series 62	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	03/06/2003

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	03/18/2003

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	04/29/2016 - 06/04/2019	ESI FINANCIAL ADVISORS	CRD# 265	JACKSONVILLE, FL
B	04/26/2016 - 06/04/2019	EQUITY SERVICES, INC.	CRD# 265	JACKSONVILLE, FL
IA	10/01/2014 - 01/13/2016	SAGEPOINT FINANCIAL, INC.	CRD# 133763	JACKSONVILLE, FL
B	09/11/2014 - 01/13/2016	SAGEPOINT FINANCIAL, INC.	CRD# 133763	JACKSONVILLE, FL
IA	06/23/2010 - 08/13/2014	WADDELL & REED	CRD# 866	JACKSONVILLE, FL
B	06/17/2010 - 08/13/2014	WADDELL & REED	CRD# 866	JACKSONVILLE, FL
B	03/25/2003 - 11/13/2009	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	COLUMBUS, OH
IA	03/24/2003 - 11/13/2009	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	COLUMBUS, OH
B	03/25/2003 - 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	Palm Coast, FL, United States
05/2019 - 03/2020	Ameriprise Financial Services, Inc.	Registered Representative	Y	Jacksonville, FL, United States
04/2016 - 05/2019	Equity Services, Inc.	REGISTERED REP	Y	Montpelier, VT, United States
04/2016 - 05/2019	National Financial Services Group	President	Y	Jacksonville, FL, 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; Tara Showalter LLC; for tax purposes only; for tax purposes only; 841 Baytree Lane, , Ponte Vedra Beach, FL, 32082; Not Investment-Related; 10/05/2020; 0 hours per month; 0 during trading hours. Outside Employment; Consulting with XFA; Consultant/coach to guide franchisees on recruiting experienced advisors outside of Ameriprise; Outside recruiting consulting with XFA; 841 Baytree Lane, , Ponte Vedra Beach, FL, 32082; Not Investment-Related; 11/03/2025; 10 to 19 hours per month; 1 to 9 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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	WISCONSIN CIRCUIT COURT DANE COUNTY MADISON, WI CASE #92CT2186
Charge Date:	11/15/1992
Charge Details:	FRAUD IN APPLICATION FOR DUPLICATE DRIVERS LICENSE 1 COUNT MISDEMEANOR PLEA NO CONTEST
Felony?	No
Current Status:	Final
Status Date:	04/21/1993
Disposition Details:	CHARGE AMENDED IN LIEU OF NO CONTEST PLEA, TO UNDERAGE FALSE ID A FORFEITURE. 4/21/93. THE FORFEITURE WAS \$333.00 FINE WAS COMPLETELY PAID BY 12/21/94.
Broker Statement	I WANTED TO GO TO THE BARS MY FRESHMAN YEAR IN COLLEGE. THEREFORE, I WENT DOWN TO THE WI DEPARTMENT OF TRANSPORTATION AND RECEIVED A FAKE LICENSE. MY SISTER AND I LOOK A LOT A LIKE AND I PRESENTED AN EXPIRED LICENSE AND THEY ISSUED A DUPLICATE WITH MY PICTURE. WHEN I WAS ARRESTED FOR OWI, I DID NOT REVEAL THAT I WASN'T MY SISTER. THE NEXT DAY I WENT TO THE POLICE STATION AND EXPLAINED WHAT I HAD DONE.



End of Report

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