



IAPD Report

MITCHELL WILLIAM BLACK

CRD# 4664345

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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

MITCHELL WILLIAM BLACK (CRD# 4664345)

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 **10/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/09/2003
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/21/2003

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **30** 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	07/09/2003 - 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
Customer Dispute	6



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 **30** 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
	FINRA	General Securities Representative	Approved	07/09/2003
	Alabama	Agent	Approved	11/19/2007
	Arizona	Agent	Approved	01/06/2006
	Arkansas	Agent	Approved	05/03/2004
	California	Agent	Approved	01/30/2007
	Colorado	Agent	Approved	01/25/2007
	Florida	Agent	Approved	04/12/2006
	Georgia	Agent	Approved	05/23/2006
	Hawaii	Agent	Approved	01/23/2014
	Illinois	Agent	Approved	02/10/2020
	Indiana	Agent	Approved	11/25/2019
	Iowa	Agent	Approved	04/29/2004
	Kansas	Agent	Approved	07/21/2003



Qualifications

	Regulator	Registration	Status	Date
IA	Kansas	Investment Adviser Representative	Approved	07/21/2003
B	Louisiana	Agent	Approved	02/05/2014
B	Maryland	Agent	Approved	11/15/2019
B	Michigan	Agent	Approved	11/04/2010
B	Minnesota	Agent	Approved	10/30/2008
B	Missouri	Agent	Approved	07/21/2003
IA	Missouri	Investment Adviser Representative	Approved	09/29/2003
B	Nebraska	Agent	Approved	08/25/2022
B	Nevada	Agent	Approved	11/21/2019
B	New Mexico	Agent	Approved	10/06/2025
B	New York	Agent	Approved	01/23/2007
B	North Carolina	Agent	Approved	11/13/2024
B	Ohio	Agent	Approved	08/01/2008
B	Oklahoma	Agent	Approved	10/05/2009
B	Oregon	Agent	Approved	01/30/2007
B	Pennsylvania	Agent	Approved	07/26/2012
B	South Carolina	Agent	Approved	11/22/2019
B	Texas	Agent	Approved	01/10/2007
IA	Texas	Investment Adviser Representative	Restricted Approval	01/11/2007



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	02/05/2025
B Virginia	Agent	Approved	02/02/2004

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
4200 W 115th St Ste 200
Leawood, KS 66211-2729

AMERIPRISE FINANCIAL SERVICES, LLC
Raymore, MO



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	07/08/2003

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	07/17/2003



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	07/09/2003 - 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	Leawood, KS, United States
05/2003 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Overland Park, KS, 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; 1110 Santa Rosa Blvd #B307, , Fort Walton Beach, FL, 32548; Not Investment-Related; 11/20/2024. Business Ownership; Mitchell Black; ; NRA Certified Instructor; 942 Old Mill Road Raymore MO 64083, , ; 09/29/2012; 1 to 9 hours per month; . Board of Directors; Mason's Give A Heart Foundation 501(c)3; Member; 942 Old Mill Road, , ; 09/24/2012; 1 to 9 hours per month; / Hamptons HOA; Member; 1184 Jeffries Road, Osage Beach Mo 65065, , ; 07/01/2017; 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
Customer Dispute	6

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 6

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	Ameriprise Financial Services, Inc.
Allegations:	Black was named in a customer complaint that asserted the following causes of action: breach of fiduciary duty, misrepresentation, and unsuitability.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #19-01994
Date Notice/Process Served:	07/18/2019
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	12/11/2019
Disposition Detail:	The Arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: Claimants are allowed to liquidate the Annuities, at the current market rate, without cost or penalty; Upon liquidation of Claimants' investments, Black's member firm shall transfer all of Claimants' funds to the financial institution(s) of Claimants' choosing; Black's firm is liable for and shall pay to Claimants \$450.00 to reimburse Claimants for the filing fee previously paid to FINRA Office of Dispute Resolution.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Ameriprise Financial Services, Inc.

Allegations: Clients alleged the advisor recommended inappropriate variable annuities in 2013 and 2014 and misrepresented the associated provisions.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

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: 03/05/2019

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 03/18/2019

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA-KS

Docket/Case #: 19-01994

Date Notice/Process Served: 07/19/2019

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 12/11/2019

Monetary Compensation Amount: \$450.00

Individual Contribution Amount: \$0.00

Broker Statement The Claimants requested the annuities at issue in this case. I provided several investment options and the Claimants chose to invest in the annuities they sought at the time they first contacted me. The Claimants received all of the required documents and disclosures, and signed documents stating they were aware of the surrender schedule. The sole arbitrator in this simplified matter ordered that Respondents reimburse Claimants \$450.00 for their FINRA filing fee and allow them to liquidate the annuities at issue without paying surrender charges."



Reporting Source: Individual

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

Allegations: THE CLIENTS CLAIM THAT THEY WERE SOLD AND UNSUITABLE AND UNAUTHORIZED VARIABLE ANNUITY, AN UNSUITABLE REIT, AND WERE CHARGED EXCESSIVE COMMISSIONS AND FEES. THEY ARE DEMANDING IN EXCESS OF \$40,000 IN SETTLEMENT OR THEY INTEND TO FILE AN ARBITRATION CLAIM.

Product Type: Other: REIT

Alleged Damages: \$40,000.00

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: 05/12/2014

Complaint Pending? No

Status: Settled

Status Date: 07/22/2014

Settlement Amount: \$24,787.70

Individual Contribution Amount: \$0.00

Broker Statement I DID NOT SELL THE REIT AT ISSUE IN THIS CLAIM TO THE CLIENTS NOR DID I RECEIVE ANY COMPENSATION.

Disclosure 3 of 6

Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGES IN LATE 2005 AND 2006, HE WAS RECOMMENDED UNSUITABLE VARIABLE LIFE INSURANCE POLICIES, ANNUITIES AND REITS. CLAIMANT REQUESTS RESCISSION OF THE \$750,000 OF REITS, VUL POLICIES AND AN ANNUITY, RETURN OF PRINCIPLE, INTEREST, FEES AND COMMISSIONS.

Product Type: Annuity-Variable
Insurance
Real Estate Security

Alleged Damages: \$750,000.00

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: 03/11/2011

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 07/18/2012

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA - MO

Docket/Case #: 12-02507

Date Notice/Process Served: 07/18/2012

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/21/2013

Monetary Compensation Amount: \$126,424.00

Individual Contribution Amount: \$0.00

Broker Statement ON 10/21/13, THE FINRA ARBITRATION PANEL ISSUED AN AWARD ORDERING AFSI TO BUY BACK CLAIMANT'S 3 REITS IN THE AMOUNT OF \$650,000; PAY CLAIMANT \$111,824 FOR RELINQUISHMENT OF COMMISSIONS, PAY CLAIMANT \$14,000 IN COSTS FOR EXPERT WITNESS FEES; PAY \$600 FOR CLAIMANT'S FINRA FILING FEE. CLAIMANT WAS ORDERED TO CONVEY OWNERSHIP OF THE 3 REITS TO AFSI PLUS PAY AFSI ANY AND ALL AMOUNTS HE RECEIVED IN DIVIDENDS OR DISTRIBUTIONS ON THE REITS DURING HIS OWNERSHIP, TOTALING APPROXIMATELY \$213,000.

Disclosure 4 of 6

Reporting Source: Individual

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

Allegations: THE CLIENTS ALLEGED THEY RECEIVED A POOR RECOMMENDATION CONCERNING THEIR VARIABLE UNIVERSAL LIFE POLICY AND THEIR VARIABLE ANNUITY POLICY. THEY ALSO ALLEGED THE SURRENDER CHARGES WERE NEVER PROPERLY DISCLOSED.

Product Type: Annuity-Variable Insurance

Alleged Damages: \$21,000.00

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: 04/08/2010

Complaint Pending? No

Status: Denied

Status Date: 06/14/2010

Settlement Amount:

Individual Contribution
Amount:

Broker Statement THE CLIENT'S COMPLETED AND SIGNED ALL APPLICABLE FORMS AND APPLICATIONS CONTAINING DISCLOSURE INFORMATION PRIOR TO PURCHASING THE VARIABLE UNIVERSAL LIFE POLICIES AND VARIABLE ANNUITY CONTRACT AND THE PURCHASES APPEARED TO BE APPROPRIATE.

Disclosure 5 of 6

Reporting Source: Individual

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

Allegations: CLIENT ALLEGED AN UNAUTHORIZED VARIABLE ANNUITY PURCHASE AND QUESTIONED THE SUITABILITY OF THE ANNUITY. THE VARIABLE ANNUITY WAS OPENED ON APRIL 10, 2007.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$66,178.54

Customer Complaint Information

Date Complaint Received: 09/17/2007

Complaint Pending? No

Status: Denied

Status Date: 01/08/2008

Settlement Amount:

Individual Contribution
Amount:

Broker Statement THE FIRM RECEIVED ADDITIONAL ALLEGATION FROM THE SPOUSE REGARDING THE SUITABILITY OF HER ANNUITY PURCHASED IN 2006. THE FIRM FOUND THE CLIENTS AUTHORIZEDC THE VARIABLE ANNUITY PURCHASES. THE FIRM FOUND NO JUSTIFICATION FRO SETTLEMENT WITH THE CLIENTS.

Disclosure 6 of 6

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

AMERIPRISE FINANCIAL SERVICES INC

Allegations:

CLIENT ALLEGED THAT I PURCHASED UNSUITABLE INVESTMENTS THAT WERE NOT IN LINE WITH THE RISK TOLERANCE OR GOALS FOR THE MONEY. INVESTMENT PURCHASED IN APRIL 2007.

Product Type:

Other

Other Product Type(s):

STRATEGIC PORTFOLIO SERVICES

Alleged Damages:

\$39,577.11

Customer Complaint Information

Date Complaint Received:

08/27/2007

Complaint Pending?

No

Status:

Denied

Status Date:

10/17/2007

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE FIRM FOUND I PURCHASED SUITABLE INVESTMENTS THAT WERE IN LINE WITH THE CLIENT'S RISK TOLERANCE AND GOALS. THE FIRM FOUND NO JUSTIFICATION FOR SETTLEMENT WITH THE CLIENT.



End of Report

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