



IAPD Report

JAVIER ALEJANDRO VALLEJO

CRD# 4698101

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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

JAVIER ALEJANDRO VALLEJO (CRD# 4698101)

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 **03/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	10/03/2016
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/21/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	CETERA ADVISORS LLC	10299	GREENWOOD VILLAGE, IL	10/03/2016 - 03/21/2024
IA	INVESTORS CAPITAL ADVISORY	30613	IRVINE, CA	03/13/2009 - 10/03/2016
B	INVESTORS CAPITAL CORP.	30613	IRVINE, CA	03/13/2009 - 10/03/2016

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
Customer Dispute	4



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

Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**
Main Address: 5299 DTC BLVD #800
GREENWOOD VILLAGE, CO 80111
Firm ID#: 10299

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/03/2016
B Arizona	Agent	Approved	10/03/2016
B California	Agent	Approved	10/03/2016
B North Carolina	Agent	Approved	10/03/2016
B South Carolina	Agent	Approved	10/03/2016
B Texas	Agent	Approved	03/19/2025
B Virginia	Agent	Approved	01/17/2023
B Washington	Agent	Approved	01/09/2018

Branch Office Locations

CETERA ADVISORS LLC
4340 VON KARMAN STE 200
NEWPORT BEACH, CA 92660

CETERA ADVISORS LLC
IRVINE, CA

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096
Firm ID#: 105644



Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	03/21/2024
IA Texas	Investment Adviser Representative	Restricted Approval	03/19/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
4340 VON KARMAN STE 200
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
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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	10/12/2003
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	11/18/2003
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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	10/03/2016 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	GREENWOOD VILLAGE
IA	03/13/2009 - 10/03/2016	INVESTORS CAPITAL ADVISORY	CRD# 30613	IRVINE, CA
B	03/13/2009 - 10/03/2016	INVESTORS CAPITAL CORP.	CRD# 30613	IRVINE, CA
B	02/01/2008 - 03/16/2009	LPL FINANCIAL CORPORATION	CRD# 6413	IRVINE, CA
IA	02/01/2008 - 03/16/2009	LPL FINANCIAL CORPORATION	CRD# 6413	IRVINE, CA
IA	11/19/2003 - 02/04/2008	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	IRVINE, CA
B	10/13/2003 - 02/04/2008	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	IRVINE, CA
B	10/13/2003 - 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
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
02/2021 - Present	PACIFIC TERRA TAX PLANNING	TAX PREPARER	N	NEWPORT BEACH, CA, United States
10/2016 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
03/2009 - 10/2016	INVESTORS CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	LYNNFIELD, MA, 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) NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES,
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERD LOCATION,
NATURE OF BUSINESS: FIXED INSURANCE,
START DATE: 9/2016,
APX NUMBER OF HOURS PER WEEK: 40,
APX NUMBER OF TRADING HOURS PER WEEK: 32.5,
POSITION/TITLE/RELATIONSHIP: AGENT,
BRIEF DESCRIPTION OF DUTIES: LIFE, HEALTH, DISABILITY, ANNUITIES, AND LONG TERM CARE.

2) NAME OF OTHER BUSINESS: PACIFIC TERRA WEALTH MANAGEMENT,
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERD LOCATION,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 6/2015,
APX NUMBER OF HOURS PER WEEK: 40,
APX NUMBER OF TRADING HOURS PER WEEK: 32.5,
POSITION/TITLE/RELATIONSHIP: MANAGING PARTNER,
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES.

3) NAME OF OTHER BUSINESS: JIMA WORLDWIDE,
INVESTMENT RELATED: NO,
ADDRESS: SAME AS REGISTERD LOCATION,
NATURE OF BUSINESS: EXPENSE COMPANY,
START DATE: 12/2012,
APX NUMBER OF HOURS PER WEEK: 1,
APX NUMBER OF TRADING HOURS PER WEEK: 1,
POSITION/TITLE/RELATIONSHIP: PRESIDENT & CEO,
BRIEF DESCRIPTION OF DUTIES: PAY BILLS FROM THIS S CORP.

4) NAME OF OTHER BUSINESS: PACIFIC TERRA TAX PLANNING;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: TAX RETURNS;
START DATE: 2/2021;
POSITION/TITLE/RELATIONSHIP: TAX PREPARER;
APX NUMBER OF HOURS PER WEEK: 2
APX NUMBER OF HOURS DURING TRADING HOURS: 2;
BRIEF DESCRIPTION OF DUTIES: PREPARE INDIVIDUAL AND BUSINESS TAX RETURNS;



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	4

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 4

Reporting Source: Firm

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

Allegations: THE CLIENTS ATTORNEY CONTACTED US TO REVISIT OUR PREVIOUS RESOLUTION AND SETTLEMENT OFFER. THE CLIENTS NO LONGER WISHED TO PURSUE THE TAX LIABILITIES ASSOCIATED WITH THE MUTUAL FUND SALES HOWEVER, THE CLIENTS WISHED TO CANCEL THE ANNUITY PURCHASED (PURCHASE DATE OF MARCH 1, 2007) AND RECEIVED A REFUND OF THE PREMIUMS PAID.

Product Type: Annuity(ies) - Variable

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$60,000.00

Customer Complaint Information

Date Complaint Received: 01/22/2009

Complaint Pending? No

Status: Settled

Status Date: 05/07/2009

Settlement Amount: \$42,428.82

Individual Contribution Amount: \$0.00

Firm Statement THE CLIENTS TOOK ACTION TO ACCEPT THE FIRM'S PREVIOUS OFFER



ASSOCIATED WITH THE SUBSTANTIATED CLAIMS FO THE ANNUITY PURCHASE. THE CLIENTS NO LONGER WISHED TO PURSUE A REFUND OF THE TAX LIABILITIES ASSOCIATED WITH THE MUTUAL FUND SALES. THE FIRM CANCELLED THE ANNUITY PURCHASE AND RETURN THE PREMIUMS PAID.

Reporting Source: Individual

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

Allegations: THE CLIENTS ATTORNEY CONTACTED AMERIPRISE FINANCIAL SERVICES INC TO REVISIT THEIR PREVIOUS RESOLUTION AND SETTLEMENT OFFER. THE CLIENTS NO LONGER WISHED TO PURSUE THE TAX LIABILITIES ASSOCIATED WITH THE MUTUAL FUND SALES, HOWEVER, THE CLIENTS WISHED TO CANCEL THE ANNUITY PURCHASED (PURCHASE DATE OF MARCH 1, 2007) AND RECEIVE A REFUND OF THE PREMIUMS PAID.

Product Type: Annuity(ies) - Variable

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$60,000.00

Customer Complaint Information

Date Complaint Received: 01/22/2009

Complaint Pending? No

Status: Settled

Status Date: 05/07/2009

Settlement Amount: \$42,428.82

Individual Contribution Amount: \$0.00

Broker Statement THE CLIENTS TOOK ACTION TO ACCEPT AMERIPRISE FINANCIAL SERVICES INC PREVIOUS OFFER ASSOCIATED WITH THE SUBSTANTIATED CLAIMS FO THE ANNUITY PURCHASE. THE CLIENTS NO LONGER WISHED TO PURSUE A REFUND OF THE TAX LIABILITIES ASSOCIATED WITH THE MUTUAL FUND SALES. AMERIPRISE FINANCIAL SERVICES INC CANCELLED THE ANNUITY PURCHASE AND RETURN THE PREMIUMS PAID.

Disclosure 2 of 4

Reporting Source: Firm

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

Allegations: THE CLIENT ALLEGED THEY WERE NOT INFORMED OF THE SURRENDER CHAGE ASSOCIATED WITH THE VARIABLE ANNUITY PURCHASED ON 3/7/07, OR THE TERMINATION FEES FOR THEIR WRAP ACCOUNTS OPENED IN THE SPRING OF 2005.

Product Type: Other

Other Product Type(s): ANNUITY, WRAP AND BROKERAGE ACCOUNTS

Alleged Damages: \$9,151.67

**Customer Complaint Information****Date Complaint Received:** 02/22/2008**Complaint Pending?** No**Status:** Denied**Status Date:** 05/12/2008**Settlement Amount:****Individual Contribution Amount:****Firm Statement** THE REVIEW DETERMINED THE CLIENT SIGNED PAPERWORK ACKNOWLEDGING ALL FEES WHICH THEY WERE DISPUTING AND RECEIVED FULL DISCLOSURE OF ALL FEES AND CHARGES.**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** AMERIPRISE FINANCIAL SERVICES INC**Allegations:** THE CLIENT ALLEGED THEY WERE NOT INFORMED OF THE SURRENDER CHARGE ASSOCIATED WITH THE VARIABLE ANNUITY PURCHASED ON 3/7/07, OR THE TERMINATION FEES FOR THEIR WRAP ACCOUNTS OPENED IN THE SPRING OF 2005.**Product Type:** Other**Other Product Type(s):** ANNUITY, WRAP AND BROKERAGE ACCOUNTS**Alleged Damages:** \$9,151.67**Customer Complaint Information****Date Complaint Received:** 02/22/2008**Complaint Pending?** No**Status:** Denied**Status Date:** 05/12/2008**Settlement Amount:****Individual Contribution Amount:****Broker Statement** THE REVIEW DETERMINED THE CLIENT SIGNED PAPERWORK ACKNOWLEDGING ALL FEES WHICH THEY WERE DISPUTING AND RECEIVED FULL DISCLOSURE OF ALL FEES AND CHARGES. CLIENT WAS ASSIGNED TO ME IN FIRST PART OF 2006. PREVIOUS ADVISOR OPENED WRAP ACCOUNT FOR [CUSTOMER] PREVIOUS TO ME TAKING OVER ACCOUNT. [CUSTOMER] AND [OTHER CUSTOMER NAMED] SIGNED ALL PROPER DOCUMENTATION AND PROSPECTUS FOR THE ANNUITY. ALL DOCUMENTATION AND POLICY DELIVERY SIGNATURE ARE IN CLIENT FILE WITH AMERIPRISE. [CUSTOMER] SPECIFICALLY MADE SURE THAT IT WAS NOT A 7 OR 10 YEAR ANNUITY. THAT IS WHY HE CHOOSE A 3 YEAR ANNUITY AND KNEW OF SURRENDER CHARGES. HE AND HIS WIFE ARE VERY FAMILIAR WITH ANNUITIES SINCE THEY HAVE A FEW WITH OTHER COMPANIES.

**Disclosure 3 of 4**

Reporting Source: Firm

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

Allegations: THE CLIENTS ALLEGED ON 02/16/07 THEIR ADVISORS HAD THEM SIGN A ONE PAGE FORM STATING IT WOULD ALLOW THEM TO MANAGE THEIR MONEY. THE FORM WAS AN ANNUITY SIGNATURE PAGE AND AN ANNUITY WAS OPENED WITHOUT THEIR INSTRUCTION. THE ANNUITY WAS FUNDED FROM UNAUTHORIZED MUTUAL FUND SALES.

Product Type: Annuity(ies) - Variable

Other Product Type(s): NQ VARIABLE ANNUITY

Alleged Damages: \$8,200.00

Customer Complaint Information

Date Complaint Received: 01/28/2008

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/19/2008

Settlement Amount:

Individual Contribution Amount:

Firm Statement WE FOUND THE CLIENT'S CLAIMS TO BE FOUNDED, HOWEVER, AS THE CLIENTS HAD ASKED FOR COMPENSATION FOR THE TAX CONSEQUENCES OF THE NQ MUTUAL FUND SALES. WE REQUESTED THEIR 2007 STATE AND FEDERAL RETURNS. THE CLIENTS DO NOT PLAN TO FILE UNTIL OCTOBER 2008. WE REQUESTED THE CLIENTS PROVIDE THE TAX INFORMATION WHEN AVAILABLE, AND WOULD PREPARE OUR OFFER.

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Reporting Source: Individual

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

Allegations: THE CLIENTS ALLEGED ON 02/16/07 THEIR ADVISORS HAD THEM SIGN A ONE PAGE FORM STATING IT WOULD ALLOW THEM TO MANAGE THEIR MONEY. THE FORM WAS AN ANNUITY SIGNATURE PAGE AND AN ANNUITY WAS FUNDED FROM UNAUTHORIZED MUTUAL FUND SALES.

Product Type: Annuity(ies) - Variable

Other Product Type(s): NQ VARIABLE ANNUITY

Alleged Damages: \$8,200.00

Customer Complaint Information

Date Complaint Received: 01/28/2008

Complaint Pending? No



Status: Closed/No Action

Status Date: 06/19/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement WE FOUND THE CLIENT'S CLAIMS TO BE FOUNDED, HOWEVER, AS THE CLIENTS HAD ASKED FOR COMPENSATION FOR THE TAX CONSEQUENCES OF THE NQ MUTUAL FUND SALES. WE REQUESTED THEIR 2007 STATE AND FEDERAL RETURNS. THE CLIENTS DO NOT PLAN TO FILE UNTIL OCTOBER 2008. WE REQUESTED THE CLIENTS PROVIDE THE TAX INFORMATION WHEN AVAILABLE, AND WOULD PREPARE OUR OFFER.

Disclosure 4 of 4

Reporting Source: Firm

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

Allegations: CLIENT ALLEGES PURCHASE MADE IN APRIL 2007 WAS NOT AUTHORIZED.

Product Type: Other

Other Product Type(s): ANNUITY

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 01/03/2008

Complaint Pending? No

Status: Denied

Status Date: 03/05/2008

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE FIRM FOUND THE CASE UNJUSTIFIED. THE CLIENT SIGNED ALL APPROPRIATE PAPERWORK AUTHORIZING THE INVESTMENT.

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES PURCHASE MADE IN APRIL 2007 WAS NOT AUTHORIZED.

Product Type: Other

Other Product Type(s): ANNUITY

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 01/03/2008



Complaint Pending?	No
Status:	Denied
Status Date:	03/05/2008
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM FOUND THE CASE UNJUSTIFIED. THE CLIENT SIGNED ALL APPROPRIATE PAPERWORK AUTHORIZING THE INVESTMENT.



End of Report

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