IAPD Report

ROBERT EDWARD ARMSTRONG JR

CRD# 4732005

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

ROBERT EDWARD ARMSTRONG JR (CRD# 4732005)

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 **05/20/2026**.

CURRENT EMPLOYERS

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

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	LOUISVILLE, KY	07/31/2009 - 05/10/2019
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	BRADENTON, FL	07/31/2009 - 05/10/2019
IA	UBS FINANCIAL SERVICES INC.	8174	LOUISVILLE, KY	02/17/2004 - 08/11/2009

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

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**

Main Address: 901 3RD AVENUE SOUTH
MINNEAPOLIS, MN 55402

Firm ID#: 6363

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/06/2019
B	Arizona	Agent	Approved	03/17/2020
B	California	Agent	Approved	05/06/2019
B	Colorado	Agent	Approved	12/07/2022
B	Florida	Agent	Approved	05/06/2019
IA	Florida	Investment Adviser Representative	Approved	05/13/2019
B	Indiana	Agent	Approved	05/09/2019
B	Kansas	Agent	Approved	04/20/2026
B	Kentucky	Agent	Approved	05/06/2019
IA	Kentucky	Investment Adviser Representative	Approved	05/06/2019
B	Michigan	Agent	Approved	06/04/2020
B	Mississippi	Agent	Approved	02/06/2023
B	New Jersey	Agent	Approved	05/06/2019

Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	05/06/2019
B	Ohio	Agent	Approved	06/13/2019
B	Oregon	Agent	Approved	05/26/2022
B	Pennsylvania	Agent	Approved	05/22/2020
B	South Carolina	Agent	Approved	06/07/2019
B	Tennessee	Agent	Approved	05/30/2025
B	Texas	Agent	Approved	05/10/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	05/06/2019
B	Virginia	Agent	Approved	05/20/2019

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
1819 Main St Ste 1002
10th Floor
Sarasota, FL 34236

AMERIPRISE FINANCIAL SERVICES, LLC
Sarasota, FL

AMERIPRISE FINANCIAL SERVICES, LLC
805 N Whittington Pkwy Ste 100
LOUISVILLE, KY 40222

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, 3 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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	02/13/2009
B	General Securities Representative Examination (S7)	Series 7	01/15/2004

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	02/04/2004

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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	07/31/2009 - 05/10/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	LOUISVILLE, KY
IA	07/31/2009 - 05/10/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	BRADENTON, FL
IA	02/17/2004 - 08/11/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	LOUISVILLE, KY
B	01/19/2004 - 08/11/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	LOUISVILLE, KY

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	Sarasota, FL, United States
05/2019 - 03/2020	Ameriprise Financial Services Inc	Registerd Rep	Y	Louisville, KY, United States
11/2016 - 05/2019	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	LOUISVILLE, KY, United States
07/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	LOUISVILLE, KY, 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; Multi-Family; 10810 Monkshood Dr, #201, , Prospect, KY, 40059; Investment-Related; 09/01/2020. Business Ownership; Lash Out!, Inc. DBA Deka Lash; Owner; retail beauty business; 1321 Herr Lane, Suite 155, , Louisville, KY, 40222; Investment-Related; 01/05/2018; 20 to 39 hours per month; 1 to 9 during trading hours / Best Coast Salon Suites, LLC dba Phenix Salon Suites; Owner; passive real estate investment, renting space to beauty professionals; 6405 Initiative Blvd, , Sarasota, FL, 34240; Not Investment-Related; 11/03/2021; 10 to 19 hours per month; 1 to 9 during trading hours / Sun Coast Salon Suites, LLC dba Phenix Salon Suites; Co-owner; Real Estate; 1058 N Tamiami Trail, Sutie 100, Sarasota, FL, 34236; Not Investment-Related; 10/01/2025; 20 to 39 hours per month; 1 to 9 during trading hours / Beauty Resource Lab, LLC; Co-owner; Retail; 6405 Initiative Blvd, , Sarasota, FL, 34240; Not Investment-Related; 06/01/2026; 1 to 9 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
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: Individual

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

Allegations: The client alleged that her advisor, who is also her husband, used money for his gain through investing in an Outside Business Activity.

Product Type: Other: Outside Business Activity (OBA)

Alleged Damages: $200,000.00

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: 08/15/2022

Complaint Pending? No

Status: Denied

Status Date: 08/26/2022

Settlement Amount:

Individual Contribution Amount:

Broker Statement The complainant is the advisor's wife, with whom the advisor has entered into divorce proceedings. All of the advisor's Outside Business Activities (OBAs) are Firm reviewed and approved, including an OBA in which the advisor shares ownership with the complainant. The complainant's concerns were found to have no merit.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLAIMANT ALLEGES UNSUITABLE RECOMMENDATIONS AND MISREPRESENTATIONS WERE MADE BETWEEN 2011 AND 2014.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT IS SEEKING AN AWARD FOR LOSSES IN EXCESS OF $750,000.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	14-03842
Date Notice/Process Served:	01/23/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/25/2017
Monetary Compensation Amount:	$189,000.00
Individual Contribution Amount:	$0.00
Broker Statement	Without admitting any liability, the Firm settled the matter for $189,000.00 solely to avoid the costs and expenses of continued litigation and end the arbitration. The FA did not contribute to the settlement amount.

Disclosure 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	THE CLIENT ALLEGES THE OPTION STRATEGY RECOMMENDED BY THE FA IS NOT APPROPRIATE. (11/29/12-11/15/13)
Product Type:	Options
Alleged Damages:	$0.00
Alleged Damages Amount	THE CLIENT ALLEGES UNSPECIFIED DAMAGES BUT GOOD FAITH

Explanation (if amount not exact):	DETERMINATION INDICATES DAMAGES GREATER THAN $5,000.00.
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:	11/11/2013
Complaint Pending?	No
Status:	Denied
Status Date:	12/18/2013
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE CLIENT ACCEPTED THE RISKS ASSOCIATED WITH THE INVESTMENT STRATEGY AND EXECUTED THE MANAGED ACCOUNT CLIENT AGREEMENT, RECEIVED THE REQUIRED DISCLOSURE DOCUMENTS, AND ENTERED THE INVESTMENT STRATEGY WILLINGLY WITH FULL DISCLOSURE OF ALL THE RISKS INVOLVED SINCE THE INCEPTION OF THE ACCOUNT AND USING THE STRATEGY, THE UNDERLYING STOCK HAS RISEN TO HISTORICAL PRICE LEVELS. THE CLIENT HAS DECLINED MY ATTEMPTS TO MEET AND DISCUSS THE CURRENT MANAGED ACCOUNT STRATEGY AND TAILOR OR ADJUST THE USE OF THE INVESTMENT STRATEGY IN LIGHT OF THE CURRENT MARKET ENVIRONMENT.

Disclosure 4 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	TIME FRAME: DECEMBER 21, 2007-AUGUST 19, 2009. THE CLIENT ALLEGES THAT HIS FINANCIAL ADVISOR DID NOT PROVIDE HIM WITH FULL DISCLOSURE OF THE INVESTMENTS' LIMITED LIQUIDITY OR THE PROCESS INVOLVED IN ACCESSING/TENDERING THE INVESTMENT. THE ALLEGED DAMAGES ARE ESTIMATED TO BE IN EXCESS OF $5,000.
Product Type:	Other: HEDGE FUNDS
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGED DAMAGES ESTIMETED TO BE IN EXCESS OF $5,000.
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: 08/24/2009

Complaint Pending? No

Status: Denied

Status Date: 10/20/2009

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

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

Allegations: TIME FRAME: DECEMBER 21, 2007-AUGUST 19, 2009. THE CLIENT ALLEGES THAT HIS FINANCIAL ADVISOR DID NOT PROVIDE HIM WITH FULL DISCLOSURE OF THE INVESTMENTS, LIMITED LIQUIDITY OR THE PROCESS INVOLVED IN ACCESSING /TENDERING THE INVESTMENT. THE ALLEGED DAMAGES ARE ESTIMATED TO BE IN EXCESS OF $5,000.

Product Type: Other: HEDGE FUNDS

Alleged Damages: $5,000.00

Alleged Damages Amount Explanation (if amount not exact): ALLEGED DAMAGES ESTIMATED TO BE IN EXCESS OF $5,000

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: 08/24/2009

Complaint Pending? No

Status: Denied

Status Date: 10/20/2009

Settlement Amount:

Individual Contribution Amount:

End of Report

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