



IAPD Report

ERIC ALAN STEWART

CRD# 4893894

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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

ERIC ALAN STEWART (CRD# 4893894)

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 **02/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	03/29/2006
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/17/2006

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	AMERITAS INVESTMENT CORP.	14869	LINCOLN, NE	01/01/2005 - 02/22/2006

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
Regulatory Event	2
Customer Dispute	2



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	03/29/2006
B	Arizona	Agent	Approved	03/29/2006
B	California	Agent	Approved	11/25/2019
B	Colorado	Agent	Approved	03/29/2006
B	Florida	Agent	Approved	07/27/2017
B	Indiana	Agent	Approved	07/28/2011
B	Iowa	Agent	Approved	10/28/2013
B	Kansas	Agent	Approved	10/10/2014
B	Minnesota	Agent	Approved	09/25/2025
B	Missouri	Agent	Approved	01/12/2022
B	Montana	Agent	Approved	04/25/2025
B	Nebraska	Agent	Approved	03/29/2006
IA	Nebraska	Investment Adviser Representative	Approved	04/17/2006



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	08/06/2015
B North Carolina	Agent	Approved	04/17/2025
B Oregon	Agent	Approved	01/14/2021
B Tennessee	Agent	Approved	04/17/2025
B Texas	Agent	Approved	01/19/2007
IA Texas	Investment Adviser Representative	Approved	01/19/2007
B Washington	Agent	Approved	05/03/2024
B Wisconsin	Agent	Approved	05/02/2024

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
 14301 FNB Pkwy Ste 304
 Omaha, NE 68154

AMERIPRISE FINANCIAL SERVICES, LLC
 Waterloo, NE



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 2 state securities law exams.




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
 General Securities Representative Examination (S7)	Series 7	03/28/2006
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/20/2004

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	04/12/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/04/2005

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
B	01/01/2005 - 02/22/2006	AMERITAS INVESTMENT CORP.	CRD# 14869	LINCOLN, NE

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	Omaha, NE, United States
02/2006 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Lincoln, NE, 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.

Business Ownership; Stewart Capital, L.L.C.; Owner; Business Management; 4701 South 252nd Street, , Waterloo, NE, 68069; Not Investment-Related; 06/24/2015; 1 to 9 hours per month; 0 during trading hours / Momentum Partners, LLC; Member; Manage Ameriprise Business; 11819 Miracle Hills Drive, Suite 101, omaha, NE, 68154; Investment-Related; 08/09/2022; 1 to 9 hours per month; 0 during trading hours. Outside Employment; Momentum Partners, LLC; member; Manage advisory business; 11819 Miracle Hills Drive, , omaha, NE, 68154; Investment-Related; 04/16/2025; 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
Regulatory Event	2
Customer Dispute	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	01/09/2014
Docket/Case Number:	2010024418901
Employing firm when activity occurred which led to the regulatory action:	AMERIPRISE FINANCIAL SERVICES, INC.
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULE 2110: STEWART ALLOWED NON-PUBLIC PERSONAL CONFIDENTIAL INFORMATION (PCI) LOCATED ON HIS BUSINESS LAPTOP COMPUTER TO COME INTO POSSESSION OF A NON-AFFILIATED THIRD PARTY. STEWART'S FORMER DOMESTIC PARTNER AND FORMER CUSTOMER NOTIFIED FINRA THAT SHE WAS IN POSSESSION OF THE LAPTOP AND THAT IT CONTAINED CERTAIN PCI. FINRA STAFF SUBSEQUENTLY ACQUIRED THE LAPTOP, ANALYZED ITS CONTENTS AND DETERMINED THAT IT DID, IN FACT, CONTAIN PCI RELATED TO SEVERAL OF HIS MEMBER FIRM'S CUSTOMERS. THE FIRM'S PROCEDURES PROVIDED THAT A REGISTERED REPRESENTATIVE MUST TAKE CERTAIN PRECAUTIONS WHEN USING HIS LAPTOP TO ENSURE THE CONFIDENTIALITY AND SECURITY OF CLIENT INFORMATION AND RECORDS. STEWART FAILED TO TAKE THE NECESSARY PRECAUTIONS TO ENSURE THE CONFIDENTIALITY AND SECURITY OF CLIENT INFORMATION.
Current Status:	Final



Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/09/2014
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 07/24/2014

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, STEWART CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$5,000. FINE PAID IN FULL ON JULY 24, 2014.

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 01/09/2014

Docket/Case Number: [2010024418901](#)

Employing firm when activity occurred which led to the regulatory action: AMERIPRISE FINANCIAL SERVICES, INC.

Product Type: No Product

Allegations: ALLEGED VIOLATION OF FINRA RULE 2010 AND NASD RULE 2110 BY ALLOWING NON-PUBLIC PERSONAL CONFIDENTIAL INFORMATION LOCATED ON HIS BUSINESS LAPTOP COMPUTER TO COME INTO



POSSESSION OF A NON-AFFILIATED THIRD PARTY (STEWART'S FORMER DOMESTIC PARTNER AND FORMER CUSTOMER).

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 01/09/2014

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 2

Reporting Source: Individual

Regulatory Action Initiated By: NEBRASKA DEPARTMENT OF BANKING AND FINANCE

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 04/04/2013

Docket/Case Number: CRD #4893894

Employing firm when activity occurred which led to the regulatory action: AMERIPRISE FINANCIAL SERVICES, INC.

Product Type: No Product

Allegations: VIOLATION OF 48 NAC 12.005.6 IN THAT INVESTMENT ADVISOR REPRESENTATIVE BORROWED MONEY FROM A CLIENT, HIS GIRLFRIEND.

Current Status: Final

Resolution: Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	04/16/2013
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: PAY \$2,500 FINE AND TAKE A COURSE COVERING INVESTMENT ADVISER REGULATION AND ETHICAL STANDARDS.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,500.00
Portion Levied against individual:	\$2,500.00
Payment Plan:	WILL BE PAID IN FULL BY 05/03/2013
Is Payment Plan Current:	Yes
Date Paid by individual:	04/29/2013
Was any portion of penalty waived?	No
Amount Waived:	



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 2

Reporting Source: Individual

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

Allegations: THE CLIENT, THROUGH HER ATTORNEY, ALLEGED THAT A PERSONAL CHECK WAS FORGED BY HER ADVISOR. IN A FOLLOW UP COMPLAINT THE CLIENT ALLEGED THAT SHE BORROWED MONEY TO THE ADVISOR THAT WASN'T RETURNED, HE PROCESSED UNAUTHORIZED TRANSACTIONS IN HER ACCOUNTS, AND HE PROVIDED MISLEADING INFORMATION RELATED TO SECURITIES AND TRANSACTIONS.

Product Type: Mutual Fund

Alleged Damages: \$40,154.05

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: 10/18/2010

Complaint Pending? No

Status: Denied

Status Date: 11/23/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM WOUND THE COMPLAINANT AND ADVISOR WERE IN A DOMESTIC RELATIONSHIP AND HAD SHARED PERSONAL FINANCES. THE ALLEGATION OF FORGERY DID NOT INVOLVE AN AACCOUNT THE CLIENT HELD WITH THE FIRM. THE FIRM WAS UNABLE TO SUBSTANTIATE THE CLIENT'S CLAIMS UNAUTHORIZED TRANSACTIONS OR MISLEADING INFORMATION REGARDING SECURITIES AND TRANSACTIONS.

Disclosure 2 of 2

Reporting Source: Individual

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

Allegations: PLAINTIFF ALLEGES THAT DEFENDANT FAILED TO REPAY PERSONAL



LOANS. SHE FURTHER ALLEGES THAT HE FORGED HER SIGNATURE ON A PERSONAL CHECK AND SOLD SHARES OF HER STOCK WITHOUT HER CONSENT.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$42,594.95

Civil Litigation Information

Type of Court: State Court

Name of Court: DISTRICT COURT

Location of Court: HALL COUNTY, NEBRASKA

Docket/Case #: C110-4815

Date Notice/Process Served: 09/23/2010

Litigation Pending? No

Disposition: Settled

Disposition Date: 02/01/2011

Monetary Compensation Amount: \$32,000.00

Individual Contribution Amount: \$32,000.00

Broker Statement I CHOSE TO SETTLE THIS MATTER IN ORDER TO AVOID THE COSTS ASSOCIATED WITH LITIGATION. I WAS DISMISSED FROM THE CASE AS PART OF THE SETTLEMENT.



End of Report

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