



IAPD Report

Allison Hope Tuthill

CRD# 6968588

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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

Allison Hope Tuthill (CRD# 6968588)

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 **04/24/2026**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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
	PRINCIPAL SECURITIES, INC.	1137	Virginia Beach, VA	01/14/2026 - 04/24/2026
	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Virginia Beach, VA	02/21/2023 - 01/22/2026

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 not currently registered as an Investment Adviser Representative.



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, 0 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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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA B	Uniform Combined State Law Examination (S66)	Series 66	02/16/2023
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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	01/14/2026 - 04/24/2026	PRINCIPAL SECURITIES, INC.	CRD# 1137	Virginia Beach, VA
IA	02/21/2023 - 01/22/2026	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Virginia Beach, VA

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
12/2025 - Present	Principal Life Insurance Company	Agent	Y	Virginia Beach, VA, United States
12/2025 - Present	Principal Securities, Inc.	Registered Rep	Y	Virginia Beach, VA, United States
05/2023 - 12/2025	Ameriprise Financial Services, LLC.	Registered Rep	Y	Virginia Beach, VA, United States
10/2022 - 05/2023	Ameriprise Financial Services	Advisor Learning Program Candidate/Operations	Y	Virginia Beach, VA, United States
06/2018 - 10/2022	Lincoln Financial/Sagemark Consulting	Practice Manager	Y	Virginia Beach, VA, United States
03/2020 - 03/2020	Ameriprise Financial Services, LLC	Registered Rep	Y	Virginia Beach, VA, United States
06/2012 - 06/2018	Kantar Media Ad Intelligence	Production II Attribution, Production III TV Editor	N	Chesapeake, VA, 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.

**FIXED INSURANCE

POSITION: Fixed Insurance Sales NATURE: null INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40 START DATE: 01/16/2026 ADDRESS: 1817 Carlton East, Virginia Beach VA 23454, United States DESCRIPTION: Sales and service of fixed life, fixed annuities, DI, LTC, P&C, health, and group benefits.

**WE CAN DO IT ALL FOR YOU LLC

POSITION: We Can Do It All For You LLC NATURE: Owner/Partner/of LLC/S-Corp/REIT INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 12/23/2019



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS: 1817 Carlton East, Virginia Beach VA 23454, United States

DESCRIPTION: This is a handyman service I own where my partner is the service provider.

**AMERICAN REPUBLICAN SISTERHOOD

POSITION: Events Committee Member American Republican Sisterhood NATURE: Events Committee Member INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 12/01/2024

ADDRESS: 1827 Wiltberger Street NW, Suite 405, Washington DC 20001, United States

DESCRIPTION: The organization is a social and supportive group for community building among women, particularly among Republican women. There are monthly get togethers for dinner called "Yappy Hours." The members do things like go to nursing homes to spend time with residents and operate a prayer chain. It is designed to provide connection, support and care for members and those around them. I am a member of the Events Committee, which decides what events we will participate in, such as get togethers, community service, or watch parties for things like debates.

**REPUBLICAN PARTY OF VIRGINIA BEACH

POSITION: Observer NATURE: Observer at Canvass to select the next Chairman of the Republican Party of Virginia Beach

INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 03/21/2026

ADDRESS: 4400 Virginia Beach Blvd, Virginia Beach VA 23462, United States

DESCRIPTION: I will be stationed in the room where voting and vote tallying will occur in the Party Canvass to elect the next Chairman of the Republican Party of Virginia Beach. I will be tasked with observing all activities and reporting any concerns to the Head Teller or Canvass Chair in charge of the Canvass.



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
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Criminal	1
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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
Formal Charges were brought in:	State Court
Name of Court:	Virginia Beach General District Court
Location of Court:	Virginia Beach, VA
Docket/Case #:	GC11021161-00
Charge Date:	12/21/2011
Charge(s) 1 of 2	
Formal Charge(s)/Description:	SALE, DISTRIBUTE MARJ W/I
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	No Plea
Disposition of charge:	Amended
Date of Amended Charge:	12/21/2011
Charge was Amended or reduced to:	Sale, Distribute MARJ W/I
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Guilty
Disposition of Amended Charge:	Convicted
Charge(s) 2 of 2	



Formal Charge(s)/Description:	CONSP: SALE, DISTRIB MARJ W/I (CONSPIRE)
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	No Plea
Disposition of charge:	NOLLE PROSEQUI
Current Status:	Final
Status Date:	05/24/2012
Disposition Date:	05/24/2012
Sentence/Penalty:	365 days in jail suspended, driver's license suspended for 6 months with travel allowed for work, healthcare, screening/evaluation/education and religious worship services. I had to serve probation from 05/24/2012 - 05/23/2013 and complete a Substance Abuse Assessment/Educational Class. The probation was supposed to be for 12 months, but the officer released me in either December of 2012 or January 2013 as he did not feel I needed to continue going to see him after successfully passing hair follicle test. Fee of \$161.00 paid on 05/24/2012.



End of Report

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