



IAPD Report

KENNETH JOSEPH ARENA

CRD# 6997

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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

KENNETH JOSEPH ARENA (CRD# 6997)

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 **04/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	12/01/2023
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	04/01/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	NEWBRIDGE FINANCIAL SERVICES GROUP, INC.	130814	POMPANO BEACH, FL	06/03/2014 - 12/04/2023
B	NEWBRIDGE SECURITIES CORPORATION	104065	POMPANO BEACH, FL	05/09/2014 - 12/04/2023
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	POMPANO BEACH, FL	06/13/2007 - 05/12/2014

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
Termination	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 currently registered with 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	04/01/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
POMPANO BEACH, FL

Employment 2 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**
Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
Firm ID#: 13572

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	12/01/2023
B Connecticut	Agent	Approved	12/04/2023
B Florida	Agent	Approved	12/11/2023
B North Carolina	Agent	Approved	12/05/2023

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
Pompano Beach, FL



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, 4 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
 AMEX Put and Call Exam (PC)	PC	06/01/1978
 General Securities Representative Examination (S7)	Series 7	11/15/1975
 Registered Representative Examination (S1)	Series 1	04/01/1968

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	05/16/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/08/1985

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	06/03/2014 - 12/04/2023	NEWBRIDGE FINANCIAL SERVICES GROUP, INC.	CRD# 130814	POMPANO BEACH, FL
B	05/09/2014 - 12/04/2023	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	POMPANO BEACH, FL
IA	06/13/2007 - 05/12/2014	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	POMPANO BEACH, FL
B	05/25/2007 - 05/12/2014	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	POMPANO BEACH, FL
B	10/01/2000 - 05/10/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	POMPANO BEACH, FL
IA	10/01/2000 - 05/10/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	POMPANO BEACH, FL
B	12/07/1994 - 10/01/2000	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	12/02/1992 - 09/16/1994	COMPULIFE INVESTOR SERVICES, INC.	CRD# 21543	ST. CLOUD, MN
B	05/19/1992 - 11/17/1992	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	02/14/1992 - 05/19/1992	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	CRD# 5774	
B	08/10/1990 - 12/23/1991	WADDELL & REED, INC.	CRD# 866	OVERLAND PARK, KS
B	08/30/1988 - 06/14/1989	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	10/24/1984 - 07/12/1988	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	
B	11/12/1981 - 01/19/1983	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	
B	01/05/1979 - 08/28/1981	OPPENHEIMER & CO., INC.	CRD# 630	
B	02/24/1978 - 01/11/1979	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	12/03/1975 - 02/24/1978	REYNOLDS SECURITIES, INC.	CRD# 712	
B	07/22/1970 - 04/15/1976	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	



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	04/04/1968 - 01/21/1971	WEIS SECURITIES, INC.	CRD# 880	
B	04/04/1968 - 01/21/1971	WINSLOW COHU STETSON INC	CRD# 1000001	

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
12/2023 - Present	CETERA INVESTMENT ADVISORS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
12/2023 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
05/2014 - 12/2023	NEWBRIDGE SECURITIES	SENIOR FINANCIAL CONSULTANT	Y	POMPANO BEACH, FL, 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.

1) NAME OF OTHER BUSINESS: CETERA WEALTH PARTNERS,
 INVESTMENT RELATED: YES,
 ADDRESS: SAME AS REGISTERED LOCATION,
 NATURE OF BUSINESS: FINANCIAL SERVICES,
 START DATE: 12/2023
 POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL,
 APX NUMBER OF HOURS PER WEEK: 40,
 APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,
 BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;



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
Termination	1

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: Firm

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE, NEGLIGENCE, MISREPRESENTATIONS, VIOLATION OF FINRA RULES, VIOLATION OF THE STATE AND FEDERAL SECURITIES LAWS, AND VIOLATION OF THE BEST INTEREST OBLIGATIONS (REG B1).

Product Type: Other: ALTERNATIVE INVESTMENTS

Alleged Damages: \$500,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 26-00500

Filing date of arbitration/CFTC reparation or civil litigation: 03/03/2026

Customer Complaint Information



Date Complaint Received: 03/04/2026

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:
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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE, NEGLIGENCE, MISREPRESENTATIONS, VIOLATION OF FINRA RULES, VIOLATION OF THE STATE AND FEDERAL SECURITIES LAWS, AND VIOLATION OF THE BEST INTEREST OBLIGATIONS (REG B1).

Product Type: Other: ALTERNATIVE INVESTMENTS

Alleged Damages: \$500,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 26-00500

Filing date of arbitration/CFTC reparation or civil litigation: 03/03/2026

Customer Complaint Information

Date Complaint Received: 03/04/2026

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 6

Reporting Source: Individual

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

Allegations: CLIENT'S ATTORNEY ALLEGED EXCESSIVE STOCK TRADES OCCURRED WITHIN THE CLIENT'S BROKERAGE ACCOUNT FROM 2007 TO 2013.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$235,000.00



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: 12/17/2013

Complaint Pending? No

Status: Settled

Status Date: 04/02/2014

Settlement Amount: \$170,311.59

Individual Contribution
Amount: \$0.00

Broker Statement

I, KENNETH J. ARENA, FIRMLY OBJECT TO ANY MONETARY PAYMENT TO CUSTOMER [CUSTOMER] AS I DID NOTHING WRONG. I INSURED THERE WAS SUITABILITY AND FULL DISCLOSURE IN ALL TRANSACTIONS. I HAD EXPECTED THIS CASE TO GO TO ARBITRATION AT WHICH I AM CERTAIN THIS COMPLAINT WOULD HAVE BEEN DENIED AS UNJUSTIFIED.

Disclosure 3 of 6

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: WACHOVIA SECURITIES, LLC

Allegations: DOWNPLAYED THE RISK OF INVESTMENT IN CNL HOTELS AND RESORTS WHEN HE RECOMMENDED INVESTMENT IN 7/03, 10/03 AND 2/04. ATTORNEY IS ASKING FOR REDEMPTION OF THE INVESTMENT AT COST. REDEMPTIONS ARE CURRENTLY PAYING 95% OF ORIGINAL INVESTMENT. CLIENT INVESTED \$200,000.

Product Type: Other

Other Product Type(s): REITS (REAL ESTATE INVESTMENT TRUST)

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 08/11/2005

Complaint Pending? No

Status: Denied

Status Date: 10/11/2005

Settlement Amount:

Individual Contribution
Amount:

Broker Statement

CLAIM DENIED. CLIENT HAD OPPORTUNITY TO REVIEW PROSPECTUS AND INTERVIEW CNL REPRESENTATIVE BEFORE INVESTING IN CNL. CLIENT HAS EDUCATION AND EXPERIENCE TO UNDERSTAND PROSPECTUS, AND INVESTMENT WAS CONSISTENT WITH INVESTMENT OBJECTIVES.



FLORIDA RESIDENT WROTE 6/14/06 LETTER STATING FA HAD NEVER DOWNPLAYED THE RISKS OF CNL HOTELS & RESORTS, NOR MISREPRESENTED ANY ASPECT OF ANY INVESTMENT.

Disclosure 4 of 6

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

WACHOVIA SECURITIES, LLC

Allegations:

ATTORNEY FOR FLORIDA RESIDENT WRITES THAT FA DOWNPLAYED THE RISK OF INVESTMENT IN CNL HOTELS AND RESORTS WHEN HE RECOMMENDED INVESTMENT IN 1/04, 2/04, AND 3/04. ATTORNEY IS ASKING FOR REDEMPTION OF THE INVESTMENT AT COST. REDEMPTIONS ARE CURRENTLY PAYING 95% OF ORIGINAL INVESTMENT. CLIENT INVESTED \$295,000.

Product Type:

Other

Other Product Type(s):

REITS (REAL ESTATE INVESTMENT TRUST)

Alleged Damages:

\$14,750.00

Customer Complaint Information

Date Complaint Received:

08/11/2005

Complaint Pending?

No

Status:

Denied

Status Date:

10/11/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CLAIM DENIED. CLIENTS HAD OPPORTUNITY TO REVIEW CNL PROSPECTUS, WHICH DISCLOSED RISKS AND CONFLICTS OF INTEREST, AND TO INTERVIEW CNL REPRESENTATIVE BEFORE MAKING PURCHASE. CLIENTS ARE EXPERIENCE INVESTORS WITH HIGH NET WORTH. FLORIDA RESIDENT HAS WRITTEN LETTER 6/14/06 STATING THAT FA NEVER DOWNPLAYED THE RISKS OF CNL HOTELS & RESORTS, NOR MISREPRESENTED ANY ASPECT OF THE INVESTMENT.

Disclosure 5 of 6

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

WACHOVIA SECURITIES, LLC

Allegations:

ATTORNEY FOR FLORIDA RESIDENT WRITES THAT FA DOWNPLAYED THE RISK OF INVESTMENT IN CNL HOTELS AND RESORTS WHEN HE RECOMMENDED INVESTMENT IN 2/04. ATTORNEY IS ASKING FOR REDEMPTION OF THE INVESTMENT AT COST. REDEMPTIONS ARE CURRENTLY PAYING 95% OF ORIGINAL INVESTMENT. CLIENT INVESTED \$100,000.

Product Type:

Other



Other Product Type(s): REITS (REAL ESTATE INVESTMENT TRUST)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 08/11/2005

Complaint Pending? No

Status: Denied

Status Date: 10/11/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CLAIM DENIED. CLIENT HAD OPPORTUNITY TO REVIEW PROSPECTUS AND INTERVIEW REPRESENTATIVE FROM CNL BEFORE INVESTMENT. HE HAS EDUCATION AND EXPERIENCE TO UNDERSTAND PRODUCT, AND INVESTMENT WAS CONSISTENT WITH HIS INVESTMENT OBJECTIVES. ON JULY 27, 2006 CLIENT WROTE LETTER STATING FA NEVER DOWNPLAYED THE RISKS OR MISREPRESENTED ANY ASPECT ON ANY INVESTMENT THAT FA HAD RECOMMENDED INCLUDING CNL HOTELS.

Disclosure 6 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES INC.

Allegations: FLORIDA CLIENT CLAIMS THAT A MUTUAL FUND PORTFOLIO PURCHASED IN FEBRUARY 2002 WAS MISREPRESENTED AS BEING FREE FROM VALUE FLUCTUATION.

Product Type: Mutual Fund(s)

Alleged Damages: \$51,000.00

Customer Complaint Information

Date Complaint Received: 12/06/2002

Complaint Pending? No

Status: Denied

Status Date: 12/23/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement

DENIED BY FIRM ON DECEMBER 23, 2002 BASED ON ACCOUNT DOCUMENTATION, SIGNED MUTUAL FUND DISCLOSURES AND FA STATEMENTS DEMONSTRATING THAT THE FLUCTUATING NATURE OF MUTUAL FUND PURCHASES WAS ADEQUATELY DISCLOSED.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: AMERIPRISE FINANCIAL SERVICES, INC.
Termination Type: Permitted to Resign
Termination Date: 05/08/2014
Allegations: ADVISOR PERMITTED TO RESIGN WHILE UNDER REVIEW FOR COMPANY POLICY VIOLATIONS RELATED TO SUITABILITY OF A SHORT-TERM TRADING STRATEGY.
Product Type: Equity Listed (Common & Preferred Stock)

Reporting Source: Individual
Firm Name: AMERIPRISE FINANCIAL SERVICES, INC.
Termination Type: Permitted to Resign
Termination Date: 05/08/2014
Allegations: ADVISOR PERMITTED TO RESIGN WHILE UNDER REVIEW FOR COMPANY POLICY VIOLATIONS RELATED TO SUITABILITY OF A SHORT-TERM TRADING STRATEGY.
Product Type: Equity Listed (Common & Preferred Stock)

Broker Statement
I RESIGNED ON MY OWN VOLITION FROM AMERIPRISE AFTER SEVERAL MONTHS TALKING WITH RECRUITERS, REVIEWING OTHER FIRMS AT MY OWN PACE. THEREFORE THE VERBIAGE AMERIPRISE PUT ON THE U5 "PERMITTED TO RESIGN" IS NOT TRUE. AS TO REVIEW FOR POLICY VIOLATIONS, NONE HAS BEEN IDENTIFIED OR COMMUNICATED IN THE FULL YEAR SINCE THE COMPLAINT WAS FILED. AND THE SUITABILITY OF THE TRADING STRATEGY WAS NEVER QUESTIONED AND TO THIS DATE HAS NOT BEEN ADDRESSED AS UNSUITABLE.



End of Report

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