



IAPD Report

PAUL THOMAS STANSBERRY

CRD# 717878

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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

PAUL THOMAS STANSBERRY (CRD# 717878)

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 **05/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/21/2008
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/06/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	FORESTERS EQUITY SERVICES, INC.	18464	SAN DIEGO, CA	09/20/2007 - 01/07/2008
IA	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	MINNEAPOLIS, MN	01/05/2006 - 06/06/2006
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	MINNEAPOLIS, MN	01/03/2006 - 06/06/2006

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	1
Financial	21
Judgment/Lien	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 **14** 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 Principal	Approved	10/21/2008
B	FINRA	General Securities Representative	Approved	10/21/2008
B	FINRA	Securities Trader	Approved	01/04/2016
IA	Alabama	Investment Adviser Representative	Approved	04/05/2016
B	Arkansas	Agent	Approved	05/10/2017
IA	Arkansas	Investment Adviser Representative	Approved	06/28/2017
IA	Delaware	Investment Adviser Representative	Approved	06/28/2017
B	Massachusetts	Agent	Approved	06/09/2017
B	Minnesota	Agent	Approved	10/21/2008
IA	Minnesota	Investment Adviser Representative	Approved	01/14/2014
IA	Mississippi	Investment Adviser Representative	Approved	06/26/2017
B	Montana	Agent	Approved	02/17/2023
IA	Nebraska	Investment Adviser Representative	Approved	08/02/2017



Qualifications

	Regulator	Registration	Status	Date
IA	Nevada	Investment Adviser Representative	Approved	06/29/2016
IA	Oklahoma	Investment Adviser Representative	Approved	10/24/2014
B	Oklahoma	Agent	Approved	05/27/2026
IA	Rhode Island	Investment Adviser Representative	Approved	06/29/2017
B	Utah	Agent	Approved	04/27/2017
IA	Virginia	Investment Adviser Representative	Approved	07/19/2017
IA	Washington	Investment Adviser Representative	Approved	08/25/2016
B	Washington	Agent	Approved	05/27/2026

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
901 3rd Ave S
MINNEAPOLIS, MN 55402

AMERIPRISE FINANCIAL SERVICES, LLC
Montrose, MN



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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	10/12/1995

General Industry/Product Exams

	Exam	Category	Date
	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Limited Representative-Equity Trader Exam (S55)	Series 55	03/07/2000
	General Securities Representative Examination (S7)	Series 7	10/18/1980

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/29/2008
 	Uniform Combined State Law Examination (S66)	Series 66	02/28/2006

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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	09/20/2007 - 01/07/2008	FORESTERS EQUITY SERVICES, INC.	CRD# 18464	SAN DIEGO, CA
IA	01/05/2006 - 06/06/2006	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	MINNEAPOLIS, MN
B	01/03/2006 - 06/06/2006	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	MINNEAPOLIS, MN
B	03/04/2004 - 01/03/2006	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	MINNEAPOLIS, MN
B	02/24/1998 - 08/07/2002	MARQUETTE FINANCIAL GROUP, INC.	CRD# 345	MINNEAPOLIS, MN
B	11/07/1994 - 02/03/1998	GLOBAL FINANCIAL GROUP, INC.	CRD# 23958	MINNEAPOLIS, MN
B	09/18/1989 - 11/04/1994	HAYNE, MILLER FINANCIAL, INC.	CRD# 13849	MINNEAPOLIS, MN
B	02/24/1986 - 09/18/1989	HAYNE, MILLER & SWEARINGEN, INC.	CRD# 14479	
B	06/03/1985 - 02/24/1986	SUMMIT INVESTMENT CORPORATION	CRD# 7477	
B	07/06/1982 - 06/04/1985	ENGLER AND BUDD COMPANY	CRD# 1743	
B	10/27/1980 - 07/06/1982	ALSTEAD, STRANGIS AND DEMPSEY INCORPORATED	CRD# 4046	

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	Minneapolis, MN, United States
09/2008 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Minneapolis, MN, 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.

Name of Activity: DELANO GIRLS HIGH SCHOOL HOCKEY; Date Activity Started/modified: 10/2017; Type of Activity: OTHER; Role/Relationship: EMPLOYEE; Responsibilities: PUBLIC ADDRESS ANNOUNCER AND SCOREKEEPING; Income Per Year: UP TO \$10,000; Total hours Per Month: 0 - 20; Hours During Trading Hours per Month: 0 - 20; Does this activity include providing investment advice, conducting securities trading or managing the assets of others? NO; -----END-----

Name of Activity: Arbiter Sports; Date Activity Started/Modified/Ended: 2/21/2020; Type of Activity: Other - Public Address Announcing; Role/Relationship: Employee; Responsibilities: Announce starting lineups, goals, penalties etc and play music.; Income Per Year: NO INCOME; Total Hours Per Month: 0 - 20; Total Hours Per Month During Trading Hours: 0 - 20; Does this activity include providing investment advice, conducting securities trading or managing the assets of others? No; --- END ---



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	1
Financial	21
Judgment/Lien	1

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 1

Reporting Source: Regulator

Regulatory Action Initiated By: SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/18/1996

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 09/18/1996

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details:

**Regulator Statement**

09-24-96, SEC NEWS DIGEST ISSUE NO. 96-179, DATED SEPTEMBER 19, 1996, ENFORCEMENT PROCEEDINGS DISCLOSE: "CEASE-AND-DESIST ORDER ENTERED AGAINST PAUL STANSBERRY"; THE COMMISSION ANNOUNCED THAT IT INSTITUTED PUBLIC ADMINISTRATIVE PROCEEDINGS PURSUANT TO SECTION 21C OF THE SECURITIES EXCHANGE ACT OF 1934 (EXCHANGE ACT) AGAINST PAUL STANSBERRY, A REGISTERED REPRESENTATIVE OF A BROKER-DEALER REGISTERED WITH THE COMMISSION. SIMULTANEOUSLY, STANSBERRY SUBMITTED AN OFFER OF SETTLEMENT, WHICH THE COMMISSION ACCEPTED. ACCORDINGLY, THE COMMISSION ENTERED AN ORDER INSTITUTING PROCEEDINGS, MAKING FINDINGS, AND IMPOSING A CEASE-AND-DESIST ORDER. SPECIFICALLY, A CEASE-AND-DESIST ORDER WAS ENTERED AGAINST STANSBERRY PROHIBITING HIM FROM COMMITTING OR CAUSING ANY VIOLATION, AND COMMITTING OR CAUSING ANY FUTURE VIOLATIONS OF, SECTION 17(a) OF THE EXCHANGE ACT AND RULE 17a-3 THEREUNDER. THE ORDER FINDS THAT STANSBERRY, ON AT LEAST ONE OCCASION, ALTERED A TIME STAMP ON AN ORDER TICKET FOR ANGEION CORP. STOCK. PREVIOUSLY, THE COMMISSION FILED AN INJUNCTIVE ACTION IN THE DISTRICT OF MINNESOTA, IN WHICH STANSBERRY WAS NOT NAMED AS A DEFENDANT, ALLEGING THAT THE STOCK OF ANGEION WAS THE SUBJECT OF AN ELABORATE FRAUDULENT SCHEME INVOLVING MANIPULATIVE DEVICES. FOR FURTHER INFORMATION, SEE (SEC V. STEVEN MCMICHAEL ET AL., D. MINN., 396-CIVIL-405, MAY 2, 1996). (REL. 34-37698)

03-31-97, 62 SEC DOCKET 2492, DATED OCTOBER 15, 1996, DISCLOSES: SEC CEASE AND DESIST ORDER IS DATED SEPTEMBER 18, 1996.

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Reporting Source:	Individual
Regulatory Action Initiated By:	SEC
Sanction(s) Sought:	Cease and Desist
Date Initiated:	09/18/1996
Docket/Case Number:	3-9083
Employing firm when activity occurred which led to the regulatory action:	GLOBAL FINANCIAL GROUP INC
Product Type:	Equity-OTC
Allegations:	ON AT LEAST ONE OCCASION, STANSBERRY ALTERED A TIME STAMP ON AN ORDER TICKET FOR ANGICON STOCK.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement



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:

09/18/1996

Sanctions Ordered:

Cease and Desist

Other: PURSUANT TO SECTION 21C OF THE EXCHANGE ACT HAS BEEN ORDERED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATION & COMMITTING OR CAUSING ANY FUTURE VIOLATION OF SECTION 71(A) OF THE EXCHANGE ACT & RULE 17A-3.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 21

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/20/2024

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/14/2024

If a compromise with creditor, provide:

Name of Creditor: Mission Lane

Original Amount Owed: \$918.33

Terms Reached with Creditor: 459.17 to settle in full

Disclosure 2 of 21

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/20/2024

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 05/09/2024

If a compromise with creditor, provide:

Name of Creditor: ELAN Financial

Original Amount Owed: \$9,880.04

Terms Reached with Creditor: Agree to pay 3952.02 to settle in full. Paid 12.02 on 2/22/2024. Paid 3940.00 on 5/9/2024.

Disclosure 3 of 21

Reporting Source: Individual

Action Type: Compromise



Action Date: 02/20/2024

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/14/2024

If a compromise with creditor, provide:

Name of Creditor: 1st Premier- 4112

Original Amount Owed: \$1,035.78

Terms Reached with Creditor: 517.89 to settle in full

Disclosure 4 of 21

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/20/2024

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/14/2024

If a compromise with creditor, provide:

Name of Creditor: Amex- 71000

Original Amount Owed: \$1,430.49

Terms Reached with Creditor: 643.72 to settle in full

Disclosure 5 of 21

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/20/2024

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/14/2024



**If a compromise with creditor,
provide:**

Name of Creditor: Capital One
Original Amount Owed: \$1,446.91
Terms Reached with Creditor: 940.50 to settle in full

Disclosure 6 of 21

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/20/2024
**Organization Investment-
Related?**
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 03/14/2024

**If a compromise with creditor,
provide:**

Name of Creditor: 1st Savings CC
Original Amount Owed: \$1,200.31
Terms Reached with Creditor: 601.00 to settle in full

Disclosure 7 of 21

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/20/2024
**Organization Investment-
Related?**
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 03/14/2024

**If a compromise with creditor,
provide:**

Name of Creditor: Best Buy
Original Amount Owed: \$2,427.24
Terms Reached with Creditor: 2063.15 to settle in full

**Disclosure 8 of 21**

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/20/2024

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/14/2024

If a compromise with creditor, provide:

Name of Creditor: Cortrust Bank

Original Amount Owed: \$1,412.57

Terms Reached with Creditor: 990.00 to settle in full

Disclosure 9 of 21

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/20/2024

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/14/2024

If a compromise with creditor, provide:

Name of Creditor: Blaze

Original Amount Owed: \$936.55

Terms Reached with Creditor: 468.28 to settle in full

Disclosure 10 of 21

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/20/2024

Organization Investment-Related?

Action Pending? No



Disposition: Satisfied/Released

Disposition Date: 03/14/2024

**If a compromise with creditor,
provide:**

Name of Creditor: Cabela's

Original Amount Owed: \$1,418.70

Terms Reached with Creditor: 1000.00 to settle in full

Disclosure 11 of 21

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/20/2024

**Organization Investment-
Related?**

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/14/2024

**If a compromise with creditor,
provide:**

Name of Creditor: Avant

Original Amount Owed: \$678.53

Terms Reached with Creditor: 407.11 to settle in full

Disclosure 12 of 21

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/20/2024

**Organization Investment-
Related?**

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/14/2024

**If a compromise with creditor,
provide:**

Name of Creditor: Menards

Original Amount Owed: \$1,772.69



Terms Reached with Creditor: 1152.25 to settle in full

Disclosure 13 of 21

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/20/2024

Organization Investment-Related?

Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 03/14/2024

If a compromise with creditor, provide:

Name of Creditor: Walmart
Original Amount Owed: \$257.77
Terms Reached with Creditor: 200.00 to settle in full

Disclosure 14 of 21

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/20/2024

Organization Investment-Related?

Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 03/14/2024

If a compromise with creditor, provide:

Name of Creditor: Credit One- 9881
Original Amount Owed: \$1,308.72
Terms Reached with Creditor: 863.76 to settle in full

Disclosure 15 of 21

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/20/2024

**Organization Investment-Related?**

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/14/2024

If a compromise with creditor, provide:

Name of Creditor: Discover

Original Amount Owed: \$1,971.08

Terms Reached with Creditor: 827.86 to settle in full

Disclosure 16 of 21

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/20/2024

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/14/2024

If a compromise with creditor, provide:

Name of Creditor: Indigo

Original Amount Owed: \$570.21

Terms Reached with Creditor: 476.12 to settle in full

Disclosure 17 of 21

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/20/2024

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 03/14/2024

If a compromise with creditor, provide:



Name of Creditor: 1st Premier- 2651
Original Amount Owed: \$1,109.80
Terms Reached with Creditor: 570.95 to settle in full

Disclosure 18 of 21

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/20/2024
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 03/14/2024
If a compromise with creditor, provide:

Name of Creditor: Merrick Bank
Original Amount Owed: \$2,590.60
Terms Reached with Creditor: 1036.24 to settle in full

Disclosure 19 of 21

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/20/2024
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 03/14/2024
If a compromise with creditor, provide:

Name of Creditor: Reflex
Original Amount Owed: \$763.57
Terms Reached with Creditor: 381.79 to settle in full

Disclosure 20 of 21

Reporting Source: Individual



Action Type: Compromise
Action Date: 02/20/2024
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 03/14/2024
If a compromise with creditor, provide:
Name of Creditor: PayPal
Original Amount Owed: \$1,579.32
Terms Reached with Creditor: 1000.00 to settle in full

Disclosure 21 of 21

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/20/2024
Organization Investment-Related?
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 03/14/2024
If a compromise with creditor, provide:
Name of Creditor: Credit One- 8336
Original Amount Owed: \$2,695.67
Terms Reached with Creditor: 1779.14 to settle in full



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	\$17,538.00
Judgment/Lien Type:	Tax
Date Filed with Court:	02/02/2016
Date Individual Learned:	09/29/2016
Type of Court:	State Court
Name of Court:	Wright County Court
Location of Court:	Wright County, MN
Docket/Case #:	1307252
Judgment/Lien Outstanding?	Yes



End of Report

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