IAPD Report

CHARLES ALLEN EVANS II

CRD# 733216

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

CHARLES ALLEN EVANS II (CRD# 733216)

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 **04/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/02/2023
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	06/02/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	RBC CAPITAL MARKETS, LLC	31194	College Grove, TN	08/22/2011 - 06/27/2023
B	RBC CAPITAL MARKETS, LLC	31194	SAN FRANCISCO, CA	03/09/2002 - 06/27/2023
B	SUTRO & CO. INCORPORATED	801	SAN FRANCISCO, CA	06/11/1993 - 03/09/2002

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
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 **22** 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	06/02/2023
B	FINRA	General Securities Sales Supervisor	Approved	03/11/2026
B	Arizona	Agent	Approved	06/02/2023
B	California	Agent	Approved	06/02/2023
IA	California	Investment Adviser Representative	Approved	06/05/2023
B	Colorado	Agent	Approved	06/02/2023
B	Florida	Agent	Approved	06/02/2023
B	Georgia	Agent	Approved	06/06/2023
B	Indiana	Agent	Approved	03/07/2024
B	Louisiana	Agent	Approved	06/02/2023
B	Massachusetts	Agent	Approved	02/09/2026
B	Michigan	Agent	Approved	06/02/2023
B	Minnesota	Agent	Approved	04/21/2026

Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	06/02/2023
B	Missouri	Agent	Approved	01/08/2026
B	Nevada	Agent	Approved	06/02/2023
B	New Jersey	Agent	Approved	06/02/2023
B	New Mexico	Agent	Approved	06/02/2023
B	New York	Agent	Approved	06/02/2023
B	North Carolina	Agent	Approved	06/02/2023
B	Oregon	Agent	Approved	06/02/2023
B	South Carolina	Agent	Approved	06/02/2023
B	Tennessee	Agent	Approved	06/02/2023
IA	Tennessee	Investment Adviser Representative	Approved	06/08/2023
B	Texas	Agent	Approved	06/02/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	06/02/2023
B	Washington	Agent	Approved	06/28/2023

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
1 Lower Ragsdale Dr
Bldg 1 Ste 100
Monterey, CA 93940

AMERIPRISE FINANCIAL SERVICES, LLC
College Grove, TN

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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/08/1986

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	02/03/2005
B	General Securities Representative Examination (S7)	Series 7	06/20/1981

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	08/20/2011
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/25/1982

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	08/22/2011 - 06/27/2023	RBC CAPITAL MARKETS, LLC	CRD# 31194	College Grove, TN
B	03/09/2002 - 06/27/2023	RBC CAPITAL MARKETS, LLC	CRD# 31194	SAN FRANCISCO, CA
B	06/11/1993 - 03/09/2002	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	09/04/1990 - 06/24/1993	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	01/12/1990 - 09/04/1990	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	CRD# 76	
B	07/18/1988 - 01/20/1990	VAN KASPER & COMPANY	CRD# 7665	SAN FRANCISCO, CA
B	04/01/1986 - 07/29/1988	BIRR, WILSON SECURITIES, INC.	CRD# 17569	
B	01/02/1986 - 04/01/1986	BIRR, WILSON & CO., INC.	CRD# 93	
B	05/09/1983 - 01/14/1986	SUTRO & CO. INCORPORATED	CRD# 801	
B	01/05/1982 - 05/25/1983	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	CRD# 76	
B	06/23/1981 - 01/29/1982	DEAN WITTER REYNOLDS INC.	CRD# 7556	

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
06/2023 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Rep	Y	San Jose, CA, United States
08/2020 - 06/2023	CITY NATIONAL BANK	EMPLOYEE OF AN AFFILIATE	Y	Monterey, CA, United States
03/2008 - 06/2023	RBC CAPITAL MARKETS, LLC	Registered Representative	Y	SAN FRANCISCO, CA, 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.

No information reported.

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
Customer Dispute	4

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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/09/1995
Docket/Case Number:	C01940035
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:	02/06/1996
Sanctions Ordered:	Censure Monetary/Fine $3,500.00
Other Sanctions Ordered:	
Sanction Details:	

Regulator Statement	COMPLAINT NO. C01940035 FILED JANUARY 9, 1995 BY DISTRICT NO. 1 AGAINST CHARLES ALLEN EVANS II, ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 15 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT EVANS EXERCISED DISCRETION IN THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT OBTAINING WRITTEN AUTHORITY FROM THE CUSTOMER TO DO SO AND WITHOUT OBTAINING APPROVAL FROM HIS MEMBER FIRM. ON FEBRUARY 6, 1996 THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT EVANS WAS ISSUED; THEREFORE, HE IS CENSURED AND FINED $3,500. **$3,500.00 PAID ON 03/18/96 , INVOICE # 96-01-118**

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD DBCC DISTRICT 1
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/09/1995
Docket/Case Number:	C01940035
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	FAILURE TO OBTAIN WRITTEN AUTHORIZATION FROM SUTRO & COMPANY PRIOR TO EXERCISING DISCRETION IN EXECUTING TRANSACTIONS FOR A CLIENT'S ACCOUNT
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	02/06/1996
Sanctions Ordered:	Censure Monetary/Fine $3,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, EVANS CONSENTED TO THE ENTRY OF FINDINGS OF FACTS AND VIOLATIONS OF ARTICLE III, SECTION 1 AND 15 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE. A CENSURE AND A FINE IN THE AMOUNT OF $3,500.00 WERE IMPOSED AS SANCTIONS.
Broker Statement	RESPONDENT USED VERBAL DISCRETION GIVEN TO HIM BY THE CLIENT TO EXECUTE TRANSACTIONS IN 3 SECURITIES. ALL OF THESE TRANSACTIONS WERE PROFITABLE FOR THE CLIENT. THE SANCTIONS IMPOSED WERE BASED NOT ON FINDINGS THAT HE ABUSED THE DISCRETIONARY AUTHORITY GRANTED HIM BY THE CLIENT BUT THAT HE

FAILED TO OBTAIN WRITTEN AUTHORIZATION FROM THE FIRM PRIOR TO EXECUTING TRANSACTIONS ON THE CUSTOMER'S BEHALF.

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:	RBC Capital Markets, LLC
Allegations:	Customers allege their financial advisors failed to recommend investments that were consistent with their investment objective and risk tolerance, investments were made in August 2016.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$12,500.00
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:	12/10/2016
Complaint Pending?	No
Status:	Denied
Status Date:	05/23/2017
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RBC DAIN RAUSCHER
Allegations:	THE CLIENT ALLEGES MR. EVANS FAILED TO REDUCE HIS MARGIN DEBIT AS REQUESTED. [CUSTOMER] REQUESTS REIMBURSEMENT OF MARGIN INTEREST.
Product Type:	Equity - OTC
Other Product Type(s):	EQUITY - LISTED
Alleged Damages:	$73,587.52

Customer Complaint Information

Date Complaint Received:	04/12/2005

Complaint Pending?	No
Status:	Settled
Status Date:	04/21/2005
Settlement Amount:	$31,318.88
Individual Contribution Amount:	$0.00

Disclosure 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RBC DAIN RAUSCHER INC.
Allegations:	THE CLIENT ALLEGES THAT MR. EVANS FAILED TO CONTACT HIM AS THE VALUE OF THE ACCOUNT DECLINED AND DID NOT RECOMMEND AN ALTERNATIVE INVESTMENT STRATEGY. ALLEGED DAMAGES ARE IN EXCESS OF $300,000.00.
Product Type:	Mutual Fund(s)
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	09/03/2002
Complaint Pending?	No
Status:	Denied
Status Date:	01/27/2003
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SUTRO & CO., INC.
Allegations:	CUSTOMER ALLEGES INVESTMENT EXECUTIVE VIOLATED NASD GUIDELINES RELATING TO SUITABILITY, AUTHORIZATION OF TRADES AND THE PROPER EXECUTION OF TRADES. NO SPECIFIC DAMAGES ARE ALLEGED, BUT CLAIMED DAMAGES ARE BELIVED TO BE IN EXCESS OF $5,000.00
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	05/27/1999
Complaint Pending?	No

Status:	Denied
Status Date:	11/26/1999
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I DENY ALL ALLEGATIONS CONTAINED IN CUSTOMER'S COMPLIANT. CUSTOMER WAS A LONG-TIME CLIENT AND IS AN EXPERIENCED INVESTOR OF SUBSTANTIAL MEANS. ALL TRANSACTIONS IN HIS ACCOUNTS WERE SUITABLE IN LIGHT OF HIS FINANCES, SOPHISTICATION AND INVESTMENT OBJECTIVES. CUSTOMER UNDERSTOOD AND WE DISCUSSED EACH INVESTMENT DECISION IN HIS ACCOUNTS. THE COMPLAINT IS WHOLLY WITHOUT MERIT AND SHALL BE VIGOROUSLY DEFENDED.

End of Report

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