



## IAPD Report

# Courtney L Carlson

CRD# 7884109

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8
Disclosure Information	9

**i** 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

### Courtney L Carlson (CRD# 7884109)

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 **10/30/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	T. ROWE PRICE INVESTMENT SERVICES, INC.	CRD# 8348	06/03/2024
<b>IA</b>	T. ROWE PRICE ADVISORY SERVICES, INC.	CRD# 108958	10/30/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **53** 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
------	------	----------	--------------------

No information reported.

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	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 **53** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **T. ROWE PRICE ADVISORY SERVICES, INC.**  
Main Address: 4515 PAINTERS MILLS ROAD  
OWINGS MILLS, MD 21117  
Firm ID#: 108958

	Regulator	Registration	Status	Date
<b>IA</b>	Colorado	Investment Adviser Representative	Approved	10/30/2025

#### Branch Office Locations

**T. ROWE PRICE ADVISORY SERVICES, INC.**  
2220 BRIARGATE PARKWAY  
COLORADO SPRINGS, CO 80920

#### Employment 2 of 2

Firm Name: **T. ROWE PRICE INVESTMENT SERVICES, INC.**  
Main Address: 1307 POINT STREET  
BALTIMORE, MD 21231  
Firm ID#: 8348

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	06/03/2024
<b>B</b>	Alabama	Agent	Approved	06/06/2024
<b>B</b>	Alaska	Agent	Approved	06/12/2024
<b>B</b>	Arizona	Agent	Approved	06/12/2024
<b>B</b>	Arkansas	Agent	Approved	06/11/2024
<b>B</b>	California	Agent	Approved	06/06/2024



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Colorado	Agent	Approved	06/03/2024
<b>B</b> Connecticut	Agent	Approved	06/07/2024
<b>B</b> Delaware	Agent	Approved	06/25/2024
<b>B</b> District of Columbia	Agent	Approved	06/17/2024
<b>B</b> Florida	Agent	Approved	06/27/2024
<b>B</b> Georgia	Agent	Approved	06/10/2024
<b>B</b> Hawaii	Agent	Approved	06/10/2024
<b>B</b> Idaho	Agent	Approved	06/07/2024
<b>B</b> Illinois	Agent	Approved	07/17/2024
<b>B</b> Indiana	Agent	Approved	06/06/2024
<b>B</b> Iowa	Agent	Approved	06/07/2024
<b>B</b> Kansas	Agent	Approved	06/06/2024
<b>B</b> Kentucky	Agent	Approved	06/11/2024
<b>B</b> Louisiana	Agent	Approved	06/14/2024
<b>B</b> Maine	Agent	Approved	06/07/2024
<b>B</b> Maryland	Agent	Approved	06/13/2024
<b>B</b> Massachusetts	Agent	Approved	06/07/2024
<b>B</b> Michigan	Agent	Approved	06/10/2024
<b>B</b> Minnesota	Agent	Approved	06/07/2024



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Mississippi	Agent	Approved	06/12/2024
<b>B</b> Missouri	Agent	Approved	06/07/2024
<b>B</b> Montana	Agent	Approved	06/11/2024
<b>B</b> Nebraska	Agent	Approved	06/06/2024
<b>B</b> Nevada	Agent	Approved	06/10/2024
<b>B</b> New Hampshire	Agent	Approved	06/12/2024
<b>B</b> New Jersey	Agent	Approved	06/07/2024
<b>B</b> New Mexico	Agent	Approved	06/07/2024
<b>B</b> New York	Agent	Approved	06/06/2024
<b>B</b> North Carolina	Agent	Approved	06/12/2024
<b>B</b> North Dakota	Agent	Approved	06/10/2024
<b>B</b> Ohio	Agent	Approved	06/06/2024
<b>B</b> Oklahoma	Agent	Approved	06/10/2024
<b>B</b> Oregon	Agent	Approved	06/13/2024
<b>B</b> Pennsylvania	Agent	Approved	06/07/2024
<b>B</b> Puerto Rico	Agent	Approved	06/17/2024
<b>B</b> Rhode Island	Agent	Approved	06/07/2024
<b>B</b> South Carolina	Agent	Approved	06/07/2024
<b>B</b> South Dakota	Agent	Approved	06/07/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Tennessee	Agent	Approved	06/07/2024
<b>B</b> Texas	Agent	Approved	06/10/2024
<b>B</b> Utah	Agent	Approved	06/07/2024
<b>B</b> Vermont	Agent	Approved	06/07/2024
<b>B</b> Virgin Islands	Agent	Approved	06/13/2024
<b>B</b> Virginia	Agent	Approved	06/08/2024
<b>B</b> Washington	Agent	Approved	06/06/2024
<b>B</b> West Virginia	Agent	Approved	06/17/2024
<b>B</b> Wisconsin	Agent	Approved	06/18/2024
<b>B</b> Wyoming	Agent	Approved	06/18/2024

### Branch Office Locations

FINANCIAL CENTER TWO  
2220 BRIARGATE PARKWAY  
COLORADO SPRINGS, CO 80920

USAFA, CO



## 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, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

#### General Industry/Product Exams

Exam	Category	Date
------	----------	------

<b>B</b> General Securities Representative Examination (S7TO)	Series 7TO	05/24/2024
---	------------	------------

<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	03/08/2024
---	-----	------------

#### State Securities Law Exams

Exam	Category	Date
------	----------	------

<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	10/27/2025
---	-----------	------------

<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	06/05/2024
---	-----------	------------

### 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:

No information reported.

### 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
03/2024 - Present	T Rowe Price	RIS Associate	Y	Colorado Springs, CO, United States
08/2023 - 03/2024	Aston Carter/Tek Systems	Contractor	Y	Colorado Springs, CO, United States
05/2023 - 08/2023	ACS	Volunteer Intake and referral coordinator	N	Ft Carson, CO, United States
01/2023 - 08/2023	Unemployed	Homemaking, periods of extended travel backpacking.	N	Colorado Springs, CO, United States
10/2022 - 12/2022	Ace Hardware	Order Filler	N	Colorado Springs, CO, United States
07/2022 - 12/2022	FedEx	Package Handler	N	Colorado Springs, CO, United States
10/2022 - 11/2022	Claire's	Assistant Manager/Keyholder	N	Colorado Springs, CO, United States
02/2020 - 07/2022	homemaker	Homemaker	N	Usafa, CO, United States
10/2019 - 01/2020	Wandling Corp	Chef	N	Ft Wainwright, AK, United States
07/2019 - 10/2019	North Pole Coffee Roasting CO	Client Services	N	Fairbanks, AK, United States
05/2019 - 07/2019	Old Navy	Associate	N	Fairbanks, AK, United States
12/2018 - 05/2019	Homemaker	Homemaker	N	Ft Wainwright, AK, United States
11/2016 - 11/2018	Homemaker	Stay at home parent/homemaker	N	Colorado Springs, CO, United States
03/2014 - 11/2016	Homemaking	I was a stay at home parent/homemaker.	N	Jber, AK, 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.

(1) Self-Employed - Unincorporated Business; Non-Investment Related; 4/14/25; Author; Fiction Novel Publication; 20 hours per month; 0 during trading. (2) Self-employed, independent contractor; Non-Investment Related; 5/8/2025; Sole Proprietor; operational efficiency and contract compliance consulting; solving logistics and analysis problems for businesses; 80 hours per month; 0 during trading.



## 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
------	-------

Criminal	2
----------	---

### 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 2

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	Probate
<b>Name of Court:</b>	Delta County Probate Court
<b>Location of Court:</b>	Delta County, MI, United States
<b>Docket/Case #:</b>	03dl0091
<b>Charge Date:</b>	09/24/2003
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Larceny
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	Guilty
<b>Disposition of charge:</b>	Pled guilty
<b>Current Status:</b>	Final
<b>Status Date:</b>	09/24/2003
<b>Disposition Date:</b>	09/24/2003
<b>Sentence/Penalty:</b>	Sentence to \$50 fine and 6 months non-reporting probation in juvenile court.
<b>Broker Statement</b>	When I was 15 years old, some of the kids in my friend group/neighborhood had taken a pair of shoes, and possibly a sweatshirt from another member of the friend group. The mother of the kid to whom the items belonged called the police to report them stolen.  We were questioned, and I truthfully told the officer I didn't know about it and that I



didn't take any of the items. I later discovered that the girl who stole the items returned them, but she blamed me. I essentially navigated this alone at a young age and I pled guilty to this charge in court. This event was the permanent end of my association with anyone in this group. The plea, sentence, and final disposition are all the same date because the probation was non-reporting.

**Disclosure 2 of 2**

**Reporting Source:** Individual

**Formal Charges were brought in:** Circuit Court

**Name of Court:** Outagamie County Circuit Court

**Location of Court:** Outagmaie County Wisconsin, United States

**Docket/Case #:** 2014cm261

**Charge Date:** 03/27/2014

**Charge(s) 1 of 1**

**Formal Charge(s)/Description:** Issuing a worthless check less than \$100

**No of Counts:** 1

**Felony or Misdemeanor:** Misdemeanor

**Plea for each charge:** none

**Disposition of charge:** Dismissed

**Current Status:** Final

**Status Date:** 04/04/2024

**Disposition Date:** 04/04/2024

**Sentence/Penalty:** Penalty: Pay restitution in the amount of the original bounced check, \$79 plus an additional \$20 late payment/returned payment fee. Total restitution \$99. This was paid by myself via phone on 03/15/2024 which was the soonest the clerks office could receive the payment from me since these would usually be paid in person, however I live in Colorado and the payment was made for Wisconsin.

**Broker Statement**

In November 2011, my spouse arrived back to the US from a deployment, and we were moving our family to another state. We hired a local carpet cleaning company as part of the final move. The did not take debit or credit cards so I wrote them a check from my account at the time for \$79USD. The check was not cashed by the carpet company until three years later at which time I was no longer with that bank nor in the state of WI. We had several temporary residences (<6 months) for military reasons. The bank did not intervene based on the very late attempt to cash the check. No attempt was made to contact me at that time. The company filed a formal complaint after not receiving funds which resulted in a warrant for my arrest. I was not made aware of this until 2024. The money has since been paid and case dismissed given the scenario.



## End of Report

This page is intentionally left blank.