



IAPD Report

JAMES PATRICK KIRWAN

CRD# 816890

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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

JAMES PATRICK KIRWAN (CRD# 816890)

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 **06/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/23/2020
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	10/23/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	FOLSOM, CA	01/20/2011 - 10/26/2020
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	FOLSOM, CA	01/20/2011 - 10/26/2020
B	UBS FINANCIAL SERVICES INC.	8174	SAN JOSE, CA	11/09/2007 - 01/31/2011

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	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 **12** 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	10/23/2020
B	Arizona	Agent	Approved	10/23/2020
B	California	Agent	Approved	10/23/2020
IA	California	Investment Adviser Representative	Approved	10/23/2020
B	Colorado	Agent	Approved	10/23/2020
B	Florida	Agent	Approved	10/23/2020
B	Idaho	Agent	Approved	10/23/2020
B	Kentucky	Agent	Approved	08/13/2021
B	Minnesota	Agent	Approved	10/23/2020
B	New Hampshire	Agent	Approved	10/23/2020
B	Oregon	Agent	Approved	10/23/2020
B	Texas	Agent	Approved	10/23/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	10/23/2020



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	10/23/2020
B Washington	Agent	Approved	10/23/2020

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
225 W Santa Clara St Ste 1600
San Jose, CA 95113-1723

AMERIPRISE FINANCIAL SERVICES, LLC
El Dorado Hills, CA



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
 Interest Rate Options Examination (S5)	Series 5	10/17/1981
 AMEX Put and Call Exam (PC)	PC	02/06/1979
 General Securities Representative Examination (S7)	Series 7	12/20/1975

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	12/31/1991
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/05/1979

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
B	01/20/2011 - 10/26/2020	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FOLSOM, CA
IA	01/20/2011 - 10/26/2020	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FOLSOM, CA
B	11/09/2007 - 01/31/2011	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAN JOSE, CA
IA	11/09/2007 - 01/31/2011	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAN JOSE, CA
IA	07/08/1997 - 11/20/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SAN JOSE, CA
B	07/31/1993 - 11/20/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SAN JOSE, CA
B	02/15/1991 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	05/18/1984 - 03/08/1991	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	09/11/1979 - 05/24/1984	SHEARSON LEHMAN/AMERICAN EXPRESS INC.	CRD# 7506	
B	02/24/1978 - 09/27/1979	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	01/02/1976 - 02/24/1978	DEAN WITTER & CO. INCORPORATED	CRD# 6466	

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
10/2020 - Present	Ameriprise Financial Services, LLC.	Registered Rep	Y	San Jose, CA, United States
10/2020 - 10/2020	Ameriprise Financial Services Inc	Registered Rep	Y	San Jose, CA, United States
11/2016 - 10/2020	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SILICON VALLEY, CA, United States
03/2020 - 03/2020	Ameriprise Financial Services, LLC	Registered Rep	Y	San Jose, CA, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SILICON VALLEY, 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.

Board of Directors; American Diabetes Association Nor Cal; Member; 1970 Broadway, , Oakland, CA, 94612; Not Investment-Related; 11/04/2020; 10 to 19 hours per month; 0 during trading hours.



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	4

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:	Firm
Employing firm when activities occurred which led to the complaint:	Citigroup Global Markets Inc.
Allegations:	Client alleged that their FA recommended the purchases of two separate variable life insurance policies solely to generate more commissions - 1999.
Product Type:	Insurance
Alleged Damages:	\$55,046.57
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:	12/30/2016
Complaint Pending?	No
Status:	Denied
Status Date:	02/27/2017

Settlement Amount:

Individual Contribution Amount:



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Citigroup Global Markets Inc.

Allegations: Client alleged that their FA recommended the purchases of two separate variable life insurance policies solely to generate more commissions - 1999.

Product Type: Insurance

Alleged Damages: \$55,046.57

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: 12/30/2016

Complaint Pending? No

Status: Denied

Status Date: 02/27/2017

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: THE ABOVE CLIENT(S) SUBMITTED CLAIM FORM(S) TO THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIP PURCHASE(S) DURING THE PERIOD 6/84-2/87. THE ABOVE MENTIONED REGISTERED REP. WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASE(S). NO DAMAGES WERE ALLEGED BUT THE AMOUNT(S) OF ACTUAL LOSS (OUT-OF-POCKET) IS/ARE APPROXIMATELY: \$38,889

Product Type:

Alleged Damages: \$38,889.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date: 10/21/1993

Settlement Amount: \$54,440.00

Individual Contribution Amount:



Firm Statement

SETTLEMENT(S) WITH THE ABOVE CLIENT(S) HAS/HAVE BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE DOLLAR AMOUNT(S) OF THE SETTLEMENT(S) IS/ARE APPROXIMATELY: \$54,440 THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM JANUARY 1, 1980 TO JANUARY 1, 1991. THE ABOVE REFERENCED CLIENT(S) SUBMITTED CLAIM FORM(S) IN RESPONSE TO THIS MAILING. THE CLAIM FORM(S) WAS/WERE EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS ESTABLISHED UNDER THE SETTLEMENT BETWEEN PSI, THE SEC, NASD, AND THE STATE SECURITIES ADMINISTRATORS. THE REPORTED SETTLEMENT(S) AROSE OUT OF THIS UNIQUE PROCESS.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

PRUDENTIAL SECURITIES INCORPORATED

Allegations:

THE ABOVE CLIENT(S) SUBMITTED CLAIM FORM(S) TO THE CLAIMS RESOLUTION PROCESS RELATED TO LIMITED PARTNERSHIP PURCHASE(S) DURING THE PERIOD 6/84-2/87. THE ABOVE MENTIONED REGISTERED REP WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASE(S). NO DAMAGES WERE ALLEGED BUT THE AMOUNT(S) OF ACTUAL LOSS (OUT -OF- POCKET) IS/ARE APPROXIMATELY: \$38,889.

Product Type:

Alleged Damages:

\$38,889.00

Customer Complaint Information

Date Complaint Received:

10/21/1993

Complaint Pending?

No

Status:

Settled

Status Date:

10/21/1993

Settlement Amount:

\$54,440.00

Individual Contribution Amount:

Broker Statement

SETTLEMENT(S) WITH THE ABOVE CLIENT(S) HAS/HAVE BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE DOLLAR AMOUNT(S) OF THE SETTLEMENT(S) IS/ARE APPROXIMATELY: \$54,440.00. NOT LEGIBLE.

Disclosure 3 of 4

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

PRUDENTIAL BACHE



Allegations: DEMAND FOR RESCISSION 1984 INVESTMENT OF \$50,00.00 IN MADISON SQUARE PLAZA ASSOCIATES FOR FIRM' S FAILURE TO DISCOVER GENERAL PARTNER IS A CONVICTED FELON.

Product Type:

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 12/11/1991

Complaint Pending? No

Status: Settled

Status Date: 06/11/1993

Settlement Amount: \$30,000.00

Individual Contribution Amount: \$0.00

Firm Statement SETTLED FOR \$30,000.00.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE

Allegations: NONE; ALLEGATION WAS AGAINST PRU DIRECTLY FOR THEIR FAILURE TO DISCLOSE THAT THE GENERAL PARTNER OF THE PARTNERSHIP WAS A CONVICTED FELON. ALLEGED DAMAGES \$50,000.00.

Product Type:

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 12/11/1991

Complaint Pending? No

Status: Settled

Status Date: 06/11/1993

Settlement Amount: \$30,000.00

Individual Contribution Amount: \$0.00

Broker Statement PRUDENTIAL PAID CLIENT #30,000.00. I PAID NOTHING. NO RESULT TO ME. CLIENTS COMPLAINT WAS AGAINST PRU ONLY FOR A DEFECTIVE INVESTMENT PRODUCT, TO WIT: THE GENERAL PARTNER WAS A CONVICTED FELON AND PRU DID NOT DISCLOSE THIS TO MYSELF OR THE CLIENT.

Disclosure 4 of 4

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: PRUDENTIAL-BACHE SECURITIES

Allegations: CLIENT ALLEGED MISREPRESENTATION OF RISK AND LIKELY RETURNS I/C/W CERTAIN LIMITED PARTNERSHIP INVESTMENTS. ALLEGED DAMAGES ARE BELIEVED TO BE IN EXCESS OF \$10,000.00

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/01/1991

Complaint Pending? No

Status: Settled

Status Date: 02/01/1993

Settlement Amount: \$57,500.00

Individual Contribution Amount: \$0.00

Firm Statement PRUDENTIAL SECURITIES AGREED TO PAY [CUSTOMER] \$57,500 IN SETTLEMENT OF HIS CLAIMS.
NOT PROVIDED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL-BACHE SECURITIES

Allegations: CLIENT ALLEGED MISREPRESENTATION OF RISK AND LIKELY RETURNS I/C/W CERTAIN LIMITED PARTNERSHIP INVESTMENTS. ALLEGED DAMAGES ARE BELIEVED TO BE IN EXCESS OF \$10,000.00.
FIRM: PRUDENTIAL SECURITIES.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/01/1991

Complaint Pending? No

Status: Settled

Status Date: 02/01/1993

Settlement Amount: \$57,500.00

Individual Contribution Amount: \$0.00

Broker Statement PRUDENTIAL SECURITIES AGREED TO PAY [CUSTOMER] \$57,500 IN SETTLEMENT OF HIS CLAIMS.
[CUSTOMER] CLAIM WAS NOT AGAINST ME THE BROKER BUT RATHER AGAINST PRU SEC FOR ALLOWING A CONVICTED AND PARDONED FELON TO BE A GENERAL PARTNER AND NOT DISCLOSE SO IN THE



OFFERING CIRCULAR. I DID NO MISREPRESENTATIONS.



End of Report

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