



IAPD Report

MARK PATRICK TOLAN

CRD# 836289

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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

MARK PATRICK TOLAN (CRD# 836289)

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 **05/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/18/1977
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	12/15/1997

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **45** 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	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	04/18/1977 - 07/03/2006
B	IDS FINANCIAL SERVICES INC.	6320	MINNEAPOLIS, MN	04/18/1977 - 12/24/1986

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	3



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 **45** 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	Direct Participation Programs	Approved	04/18/1977
B	FINRA	Invest. Co and Variable Contracts	Approved	04/18/1977
B	FINRA	General Securities Representative	Approved	12/24/1986
B	FINRA	General Securities Principal	Approved	03/28/1989
B	FINRA	Municipal Fund	Approved	03/28/2003
B	Alabama	Agent	Approved	12/06/2023
B	Alaska	Agent	Approved	07/17/2023
B	Arizona	Agent	Approved	11/05/2001
B	Arkansas	Agent	Approved	08/05/2019
B	California	Agent	Approved	12/24/1986
IA	California	Investment Adviser Representative	Approved	12/15/1997
B	Colorado	Agent	Approved	08/28/2007
B	Connecticut	Agent	Approved	06/04/2010



Qualifications

	Regulator	Registration	Status	Date
B	District of Columbia	Agent	Approved	05/29/2026
B	Florida	Agent	Approved	06/24/2016
B	Georgia	Agent	Approved	11/02/2021
B	Hawaii	Agent	Approved	02/03/2006
B	Idaho	Agent	Approved	01/23/2002
B	Illinois	Agent	Approved	09/19/2005
B	Indiana	Agent	Approved	12/03/2003
B	Iowa	Agent	Approved	08/01/2017
B	Kansas	Agent	Approved	01/24/2024
B	Louisiana	Agent	Approved	02/07/2024
B	Maine	Agent	Approved	08/30/2017
B	Maryland	Agent	Approved	04/29/2021
B	Massachusetts	Agent	Approved	08/01/2022
B	Michigan	Agent	Approved	06/24/2016
B	Minnesota	Agent	Approved	08/24/2016
B	Mississippi	Agent	Approved	05/02/2011
B	Missouri	Agent	Approved	10/28/1994
B	Montana	Agent	Approved	02/03/2021
B	Nebraska	Agent	Approved	09/11/2015



Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	10/26/2005
IA	Nevada	Investment Adviser Representative	Approved	11/16/2023
B	New Jersey	Agent	Approved	02/24/2017
B	New Mexico	Agent	Approved	02/19/2016
B	New York	Agent	Approved	07/13/2021
B	North Carolina	Agent	Approved	09/21/2005
B	Ohio	Agent	Approved	06/21/2016
B	Oklahoma	Agent	Approved	02/14/2024
B	Oregon	Agent	Approved	09/14/2004
B	Pennsylvania	Agent	Approved	05/10/1991
B	Rhode Island	Agent	Approved	02/07/2024
B	South Carolina	Agent	Approved	10/17/2006
B	South Dakota	Agent	Approved	09/06/2022
B	Tennessee	Agent	Approved	10/30/2019
B	Texas	Agent	Approved	08/30/2004
IA	Texas	Investment Adviser Representative	Restricted Approval	10/09/2006
B	Utah	Agent	Approved	02/07/2011
B	Virginia	Agent	Approved	03/01/2023



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	10/27/2009
B Wisconsin	Agent	Approved	05/29/2014
B Wyoming	Agent	Approved	08/14/2023

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC

530 W Bonita Ave
San Dimas, CA 91773

AMERIPRISE FINANCIAL SERVICES, LLC

221 E WALNUT ST
STE 270
PASADENA, CA 91101

AMERIPRISE FINANCIAL SERVICES, LLC

2 Venture Suite 160
Irvine, CA 92618-7363

AMERIPRISE FINANCIAL SERVICES, LLC

5256 S Mission Rd Ste 301
Bonsall, CA 92003

AMERIPRISE FINANCIAL SERVICES, LLC

12842 Valley View St Ste 104
Garden Grove, CA 92845

AMERIPRISE FINANCIAL SERVICES, LLC

41690 Ivy Street D6
Murrieta, CA 92562

AMERIPRISE FINANCIAL SERVICES, LLC

26060 Acero Ste 109
Mission Viejo, CA 92691

AMERIPRISE FINANCIAL SERVICES, LLC

4 Venture Ste 300
Irvine, CA 92618

AMERIPRISE FINANCIAL SERVICES, LLC

43460 RIDGE PARK DR
STE 200
TEMECULA, CA 92590



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 2 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	03/27/2003
	General Securities Principal Examination (S24)	Series 24	03/23/1989

General Industry/Product Exams

	Exam	Category	Date
	Direct Participation Programs Representative Examination (S22TO)	Series 22TO	01/02/2023
	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	11/15/1986
	Registered Representative Examination (S1)	Series 1	04/11/1977

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/12/1986

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	04/18/1977 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	04/18/1977 - 12/24/1986	IDS FINANCIAL SERVICES INC.	CRD# 6320	

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	San Dimas, CA, United States
09/2005 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	San Dimas, CA, 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.

Real Estate Ownership; Commercial; 530 W BONITA AVE, , SAN DIMAS, CA, 91773; Investment-Related; 08/13/2015. Business Ownership; CONFLUENCE MANAGEMENT GROUP LLC; Owner; Manage Ameriprise Business; 530 W BONITA AVVE, , SAN DIMAS, CA, 91773; Not Investment-Related; 02/28/2024; 1 to 9 hours per month; 0 during trading hours / CONFLUENCE PROPERTY MANAGEMENT GROUP LLC; Owner; THIS LLC WAS FORMED TO HOLD TITLE OF THE COMMERCIAL BUILDING PURCHASED TO HOUSE AMERIPRISE PRACTICE AT 530 W BONITA AVE, SAN DIMAS, CA 91773. BUILDING EXPENSES INCLUDING MAINTANENCE, MORTGAGE AND INCOME INCLUDING LEASE PAYMENTS FROM TENANT ARE MANAGED THROUGH THE LLC; 530 W BONITA AVE, , SAN DIMAS, CA, 91773; Investment-Related; 02/28/2024; 1 to 9 hours per month; 0 during trading hours. Board of Directors; Holy Name of Mary Parish Finance Committee; Secretary; 724 E Bonita Ave, , San DImas, CA, 91773; Not Investment-Related; 01/01/2014; 1 to 9 hours per month; 0 during trading hours. Other Business Activities; City of La Verne; Youth Basketball Coach; 3660 D StreetLa Verne, CA 91750, ,; Not Investment-Related; 01/16/2019; 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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Ameriprise Financial Services, Inc.
Allegations:	Claimant alleges that, from March 2015 through February 2016, her portfolio was invested too aggressively for her conservative risk tolerance, particularly in high yield/sub-investment grade bonds.
Product Type:	Debt-Asset Backed
Alleged Damages:	\$331,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	16-03415
Date Notice/Process Served:	11/28/2016
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/30/2019
Monetary Compensation Amount:	\$70,000.00
Individual Contribution Amount:	\$0.00



Broker Statement Ameriprise Financial settled this matter in order to avoid the costs associated with arbitration. I was dismissed from the matter pursuant to the terms of the settlement agreement.

Disclosure 2 of 3

Reporting Source: Individual

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

Allegations: THE CLIENTS ALLEGED THE ADVISOR STATED THEY WOULD NOT INCUR SURRENDER CHARGES FOR THE ANNUITY SURRENDERS THEY MADE IN THE FALL OF 2009. THEY ALSO STATED THE SURRENDERS RESULTED IN ADDITIONAL TAXATION.

Product Type: Annuity-Variable

Alleged Damages: \$7,135.07

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: 02/10/2010

Complaint Pending? No

Status: Settled

Status Date: 06/28/2010

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement OUR REVIEW INDICATED NO WRONGDOING ON THE PART OF THE ADVISOR AND THE SURRENDER CHARGE THE CLIENT REFERRED TO HAD BEEN PREVIOUSLY WAIVED BY THE HOME OFFICE SERVICE DEPARTMENT PRIOR TO THE SUBMISSION OF COMPLAINT. IN THE INTEREST OF GOOD CLIENT RELATIONS, A SECOND SURRENDER CHARGE OF \$1602.10 ALSO WAS WAIVED.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: THE CLIENT ALLEGED THAT I DID NOT FULLY EXPLAIN THE SURRENDER CHARGE INVOLVED WITH HER ANNUITY, AND THAT I SHOULD HAVE HELPED HER AVOID THE MARKET LOSSES OF THE PAST THREE YEARS.

Product Type: Annuity(ies) - Fixed

Alleged Damages: \$9,404.33



Customer Complaint Information

Date Complaint Received: 06/17/2003

Complaint Pending? No

Status: Denied

Status Date: 07/29/2003

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

THE CLIENT IS AN EXPERIENCED INVESTOR AND KEPT IN FREQUENT CONTACT WITH ME DURING THE MARKET'S DECLINE. SHE CHOSE TO MAKE NO CHANGES IN HER PORTFOLIO.



End of Report

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